

State of Hawaii  
Department of Education  
Office of Curriculum, Instruction and Student Support  
School Based Behavioral Health Services Section

## **Request for Proposals**

**RFP No. EDN 150-2006-08**

### **Special School**

October 12, 2004

Note: If this RFP was downloaded from the State Procurement Office RFP Website each applicant must provide contact information to the RFP contact person for this RFP to be notified of any changes. For your convenience, an [RFP Interest form](#) may be downloaded to your computer, completed and e-mailed or mailed to the RFP contact person. The State shall not be responsible for any missing addenda, attachments or other information regarding the RFP if a proposal is submitted from an incomplete RFP.

October 12, 2004

## **REQUEST FOR PROPOSALS**

### **SPECIAL SCHOOL RFP No. EDN 150-2006-08**

The Department of Education, School Based Behavioral Health Services Section, is requesting proposals from qualified applicants to provide a comprehensive Special School to eligible students that exhibit severe social, communication, and behavioral deficits who are in need of an alternative educational program. Services should combine educational, behavioral health and therapeutic approaches in providing time limited interventions designed to assist students to effectively participate in school based educational activities. The contract term will be from July 1, 2005 – June 30, 2006.

Proposals must be postmarked by US mail before midnight on January 14, 2005 or hand delivered by 4:00 p.m., Hawaii Standard Time (H.S.T.) at the drop off site designated on the following page.

Proposals postmarked after midnight on January 14, 2005 or hand delivered after 4:00 p.m. H.S.T., on January 14, 2005 will not be considered and will be returned to the applicant. There are no exceptions to this requirement.

The Department of Education will conduct an orientation on October 26, 2004 from 2:30 p.m. to 3:30 p.m. H.S.T., at Tokai University, 2241 Kapiolani Boulevard, Honolulu, Hawaii. All prospective applicants are encouraged to attend the orientation.

The deadline for submission of written questions is 4:00 p.m. H.S.T., on November 3, 2004. All written questions will receive a written response from the State on or about November 12, 2004.

Inquiries regarding this RFP should be directed to the RFP Contact Person, Ms. Marilyn Jakeway, at 641 18<sup>th</sup> Avenue, Room V-102, Honolulu, Hawaii 96816, or may be made by telephone to (808) 735-8250 x 256.

## **PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET**

**ALL MAIL-INS MUST BE POSTMARKED BY USPS BEFORE 12:00 MIDNIGHT,**

**ONE ORIGINAL AND EIGHT COPIES OF THE PROPOSAL ARE REQUIRED.  
ADDITIONAL COPIES MAY BE SPECIFIED BY INDIVIDUAL DOE PROGRAMS.**

**January 14, 2005**

### **All Mail-ins**

Department of Education  
School Based Behavioral Health Services  
1106 Koko Head Avenue  
Honolulu, Hawaii 96816

### **DOE RFP COORDINATOR**

Ms. Marilyn Jakeway  
Acting State Educational Specialist (Autism)  
For further info. or inquiries  
Phone: (808) 735-8250 x256  
Fax: (808) 735-6228

**ALL HAND DELIVERIES WILL BE ACCEPTED AT THE FOLLOWING SITES UNTIL 4:00 P.M.,  
January 14, 2005.**

### **Drop-off Sites**

For ALL applicants STATEWIDE:

Department of Education  
School Based Behavioral Health Services  
1106 Koko Head Avenue  
Honolulu, Hawaii 96816

**BE ADVISED:** All mail-ins postmarked USPS after 12:00 midnight, January 14, 2005, will not be accepted for review and will be returned.

**Hand deliveries will not be accepted after 4:00 p.m., January 14, 2005.**

**Deliveries by private mail services such as Fedex shall be considered hand deliveries and will not be accepted if received after 4:00 p.m., January 14, 2005.**

## **Section 1 Administrative Overview**

Applicants are encouraged to read each section of the RFP thoroughly. While sections such as the administrative overview may appear similar among RFPs, state purchasing agencies may add additional information as applicable. It is the responsibility of the applicant to understand the requirements of *each* RFP.

### **I. Authority**

This RFP is issued under the provisions of the Hawaii Revised Statutes, Chapter 103F and its administrative rules. All prospective applicants are charged with presumptive knowledge of all requirements of the cited authorities. Submission of a valid executed proposal by any prospective applicant shall constitute admission of such knowledge on the part of such prospective applicant.

### **II. RFP Organization**

This RFP is organized into five sections:

***Section 1, Administrative Overview***--Provides applicants with an overview of the procurement process.

***Section 2, Service Specifications***--Provides applicants with a general description of the tasks to be performed, delineates applicant responsibilities, and defines deliverables (as applicable).

***Section 3, POS Proposal Application Instructions***--Describes the required format and content for the proposal application.

***Section 4, Proposal Evaluation***--Describes how proposals will be evaluated by the Department of Education (DOE).

***Section 5, Attachments*** --Provides applicants with information and forms necessary to complete the application.

### III. Contracting Office

The Contracting Office is responsible for overseeing the contract(s) resulting from this RFP, including system operations, fiscal agent operations, and monitoring and assessing provider performance. The Contracting Office is:

Ms. Marilyn Jakeway, Acting State Educational Specialist (Autism)  
 Department of Education, Special Education Services Branch  
 641 18<sup>th</sup> Avenue, Room V-102  
 Honolulu, Hawaii 96816  
 Phone: (808) 735-8250 x256 Fax: (808) 735-6228

### IV. Procurement Timetable

Activity	Scheduled Date
Public notice announcing RFP	<u>10/12/04</u>
Distribution of RFP	<u>10/12/04</u>
RFP orientation session	<u>10/26/04</u>
Closing date for submission of written questions for written responses	<u>11/03/04</u>
State purchasing agency's response to applicants' written questions	<u>11/12/04</u>
Proposal submittal deadline	<u>01/14/05</u>
Proposal evaluation period	<u>01/18/05 –</u> <u>03/18/05</u>
Provider selection and award	<u>03/25/05</u>
Notice of statement of findings and decisions	<u>03/31/05</u>
Contract start date	<u>07/01/05</u>

### V. Orientation

An orientation for applicants in reference to the request for proposals will be held for *all islands* on October 26, 2004 from 2:30 p.m. to 3:30 p.m. at Tokai University, 2241 Kapiolani Boulevard, Honolulu, Hawaii.

Applicants are encouraged to submit written questions prior to the orientation. Questions may be faxed to the SBBH Contracts Office at (808) 735-8267 or emailed to [Andrell\\_Beppu@notes.k12.hi.us](mailto:Andrell_Beppu@notes.k12.hi.us). Impromptu questions will be permitted and spontaneous answers provided at the orientation at the Department of Education's discretion. Verbal answers provided at the orientation are only intended as general direction and may not represent the DOE's position. Formal official responses will be provided in writing. To ensure a written response, any oral questions should be submitted in writing following the close of the orientation, but no later than the submittal deadline for written questions indicated in the next paragraph (VI. Submission of Questions) in order to generate a written DOE response.

## VI. Submission of Questions

Applicants may submit questions to the RFP Contact Person identified in Section 2 of this RFP. The deadline for submission of written questions is 4:00 p.m. H.S.T., on November 3, 2004. All written questions will receive a written response from the state purchasing agency. The DOE's response to applicant written questions will be posted on the website at: [http://doe.k12.hi.us/rfp\\_sbbhs/](http://doe.k12.hi.us/rfp_sbbhs/).

## VII. Submission of Proposals

Proposals must contain all components. Please refer to the Competitive POS Application Checklist (Section 5, Attachment A) for information on: 1) where to obtain the forms/instructions; 2) additional program specific requirements; and 3) the order in which all components of the application should be assembled and submitted to the DOE. Proposals must contain the following components:

- (1) ***POS Proposal Application (Form SPO-H-200A), including Title Page (Form SPO-H-200) and Table of Contents*** - Applicant shall submit comprehensive narratives that addresses all of the issues contained in the POS Proposal Application Instructions, including a cost proposal/budget. (Refer to Section 3 of this RFP.)
- (2) ***Competitive POS Application Check List*** – Provides applicants with information on where to obtain the required forms; information on program specific requirements; and the order in which all components should be assembled and submitted to the state purchasing agency.
- (3) ***Registration Form (SPO-H-100A)*** – If applicant is not pre-registered with the State Procurement Office (business status), this form must be submitted with the application. If applicant is unsure as to their pre-registration status, they may check the State Procurement Office website at:  
<http://www.spo.hawaii.gov>  
Click on *Procurement of Health and Human Services*  
Click on *Provider Lists...The Registered List of Private Providers for Use with the Competitive Method of Procurement*  
or call the purchasing agency at (808) 735-8264 or the State Procurement Office at (808) 587-4706.
- (4) ***SPO Cost Proposal (Budget) Forms (Forms SPO-H-205 through SPO-H-206J)***
- (5) ***Certifications*** - Federal and/or State certifications, as applicable.
- (6) ***Program Specific Requirements*** - Additional program specific requirements are included in Sections 2 and/or 3, Service Specifications and the POS Proposal Application, as applicable.

- (7) ***Wages and Labor Law Compliance*** – Before a provider enters into a service contract in excess of \$25,000, the provider shall certify that it complies with section 103-55, HRS, Wages, hours and working conditions of employees of contractors performing services. Section 103-55, HRS may be obtained from the Hawaii State Legislature website at [http:// www.capitol.hawaii.gov/](http://www.capitol.hawaii.gov/). Or go directly to: [http://www.capitol.hawaii.gov/hrscurrent/Vol02\\_Ch0046-0115/HRS0103/HRS\\_0103-0055.htm](http://www.capitol.hawaii.gov/hrscurrent/Vol02_Ch0046-0115/HRS0103/HRS_0103-0055.htm).
- (8) ***Confidential Information*** – If an applicant believes any portion of a proposal contains information that should be withheld as confidential, the applicant shall request in writing nondisclosure of designated proprietary data to be confidential and provide justification to support confidentiality. Such data shall accompany the proposal, be clearly marked, and shall be readily separable from the proposal to facilitate eventual public inspection of the non-confidential sections of the proposal. **Note that price is not considered confidential and will not be withheld.**

Multiple or alternate proposals shall **not** be accepted unless specifically provided for in Section 2 of this RFP. In the event alternate proposals are **not** accepted and an applicant submits alternate proposals but clearly indicates a primary proposal, it shall be considered for award as though it were the only proposal submitted by the applicant.

One original and 8 copies of the proposal are required. Proposals must be postmarked or hand delivered by the date and time designated on the Proposal Mail-In and Delivery Information Sheet attached to this RFP. Any proposal post-marked or received after the designated date and time shall be rejected. Faxed proposals, submission of proposals on diskettes, or transmission by email are not permitted.

#### **VIII. Discussions with Applicants Prior to, or After Proposal Submittal Deadline**

Discussions may be conducted with applicants who submit proposals determined to be reasonably susceptible of being selected for award, but proposals may be accepted without discussions, in accordance with the administrative rules.

#### **IX. Additional Materials and Documentation**

Upon request from the Department of Education, each applicant shall submit any additional materials and documentation reasonably required by the DOE in its evaluation of the proposals.

#### **X. RFP Amendments**

The State reserves the right to amend this RFP at any time prior to the closing date for the final revised proposals.

## **XI. Final Revised Proposals**

The applicant's final revised proposal, *as applicable* to this RFP, must be postmarked or hand delivered by the date and time specified by the DOE. Any final revised proposal post-marked or received after the designated date and time will be rejected. If a final revised proposal is not submitted, the previous submittal will be construed as their best and final offer/proposal. *Only the section(s) of the proposal that are amended shall be submitted by the applicant, along with the POS Proposal Application Title Page (SPO-H-200).* After final revised proposals are received, final evaluations will be conducted for an award.

## **XII. Cancellation of Request for Proposal**

The request for proposal may be canceled and any or all proposals may be rejected in whole or in part, when it is determined to be in the best interests of the State.

## **XIII. Costs for Proposal Preparation**

Any costs incurred by applicants in preparing or submitting a proposal are the applicants' sole responsibility.

## **XIV. Provider Participation in Planning**

Provider participation in the Department of Education's efforts to plan for or to purchase health and human services prior to DOE's release of a request for proposals, including the sharing of information on community needs, best practices, and providers' resources, shall not disqualify providers from submitting proposals if conducted in accordance with sections 3-142-203 and 3-143-618 of the Hawaii Administrative Rules for Chapter 103F, HRS.

## **XV. Rejection of Proposals**

The State reserves the right to consider as acceptable only those proposals submitted in accordance with all requirements set forth in this RFP and which demonstrate an understanding of the problems involved and comply with the service specifications. Any proposal offering any other set of terms and conditions contradictory to those included in this RFP may be rejected without further notice.

A proposal may be automatically rejected for any one or more of the following reasons: (Relevant sections of the Hawaii Administrative Rules for Chapter 103F, HRS are parenthesized)

- (1) Rejection for failure to cooperate or deal in good faith. (Section 3-141-201)
- (2) Rejection for inadequate accounting system. (Section 3-141-202)



- (3) Late proposals. (Section 3-143-603)
- (4) Inadequate response to request for proposals. (Section 3-143-609)
- (5) Proposal not responsive. (Section 3-143-610 (1))
- (6) Applicant not responsible. (Section 3-143-610 (2))

## **XVI. Opening of Proposals**

Upon receipt of proposal by a state purchasing agency at a designated location, proposals, modifications to proposals, and withdrawals of proposals shall be date-stamped and, when possible, time-stamped. All documents so received shall be held in a secure place by the state purchasing agency and not examined for evaluation purposes until the submittal deadline.

Procurement files shall be open to public inspection after a contract has been awarded and executed by all parties.

## **XVII. Notice of Award**

A statement of findings and decisions shall be provided to all applicants by mail upon completion of the evaluation of competitive purchase of service proposals.

Any agreement arising out of this solicitation is subject to the approval of the Department of Attorney General as to form, and to all further approvals, including the approval of the Governor, required by statute, regulation, rule, order or other directive.

No work is to be undertaken by the awardee prior to the contract commencement date. The State of Hawaii is not liable for any costs incurred prior to the official start date.

## **XVIII. Protests**

Any applicant may file a protest (using a prescribed form provided by the administrator of the State Procurement Office available on the State Procurement Office Website whose address is on the Competitive POS Application Checklist located in the Attachments section of this RFP) against the awarding of the contract as long as an original and two copies of the protest is served upon the head of the state purchasing agency that conducted the protested procurement, and the procurement officer who handled the protested procurement, by United States mail, or by hand-delivery. A Notice of Protest regarding an award of contract and related matters that arise in connection with a procurement made under a competitive purchase of services shall be served within five working days of the postmark of the notice of findings and decisions sent to the protester. The Notice of Protest form, SPO-H-801, is available on the SPO website (see the POS Proposal Checklist in Section 5 of this RFP). Only the following matters may be protested:

- (1) A state purchasing agency's failure to follow procedures established by Chapter 103F of the Hawaii Revised Statutes;
- (2) A state purchasing agency's failure to follow any rule established by Chapter 103F of the Hawaii Revised Statutes; and
- (3) A state purchasing agency's failure to follow any procedure, requirement, or evaluation criterion in a request for proposals issued by the state purchasing agency.

<b>Head of State Purchasing Agency</b>	<b>Procurement Officer</b>
Name: Patricia Hamamoto	Name: Marilyn Jakeway
Title: Superintendent	Title: Program Manager, Autism
Mailing Address: P.O. Box 2360 Honolulu, Hawaii 96804	Mailing Address: 641 18 <sup>th</sup> Avenue, Room V-102 Honolulu, Hawaii 96816
Business Address: 1390 Miller Street Honolulu, Hawaii 96813	Business Address: same as above

#### **XIX. Availability of Funds**

The award of a contract and any allowed renewal or extension thereof, is subject to allotments to be made by the Director of Finance, State of Hawaii, pursuant to Chapter 37, Hawaii Revised Statutes, and subject to the availability of State and/or Federal funds.

#### **XX. Criteria by Which the Performance of the Contract Will be Monitored and Evaluated**

The criteria by which the performance of the contract will be monitored and evaluated are:

- (1) Performance/Outcome Measures
- (2) Output Measures
- (3) Quality of Care/Quality of Services
- (4) Financial Management
- (5) Administrative Requirements

## **XXI. General and Special Conditions of Contract**

The general conditions that will be imposed contractually are on the SPO website (see the POS Proposal Application Checklist in Section 5 of this RFP for the address). Special conditions may also be imposed contractually by the Department of Education, as deemed necessary.

## **XXII. Cost Principles**

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under Chapter 103F, HRS, state purchasing agencies will utilize standard cost principles outlined in Form SPO-H-201 which is available on the SPO Website (see the POS Proposal Application Checklist in Section 5 of this RFP). Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

## **Section 2**

### **Service Specifications**

#### **I. Introduction**

##### **A. Overview, Purpose or Need**

The Hawaii Department of Education (DOE) administers the statewide system of public schools. The scope of educational programs and services of the public schools encompasses grades kindergarten through twelve, and such pre-school programs and community/adult education curricula as may be authorized. In addition to regular programs of instruction and support services, the Department offers special programs and services for students who are disabled, gifted, learning English as a second language, economically and culturally disadvantaged, school-alienated, or institutionally confined. Applicable Federal and State statutes and regulations govern the provision of the education of students with disabilities (i.e., 34 C.F.R. Section 300 and Hawaii Administrative Rules Chapter 56).

In accordance with the Individuals with Disabilities Education Act (IDEA), the Department strives to provide a free appropriate public education (FAPE) for students with educational disabilities in the least restrictive environment (LRE). The Department recognizes the need for a full array of continuum of alternate placements along the least restrictive environment continuum.

The purpose of this request for proposal (RFP) is to solicit private providers to provide a public separate facility (Special School) for students whose least restrictive environment is an off-campus DOE specialized school placement while the DOE is building capacity to expand the existing array of alternate placements for eligible students in need of such placement. The DOE anticipates the need to develop contracts to provide a public separate facility for students who are exhibiting a combination of severe social, communication and behavioral deficits. For the purposes of this RFP, severe is defined as two or more standard deviations below the mean on a standardized instrument that are designed to assess social, communication and behavior.

The Comprehensive Student Support System (CSSS) educational model is a strengths-based, multidisciplinary team decision-making model focusing on learning and development. It is based upon the understanding that an individual's capacity to meet expectations is the result of unique inherent characteristics and previous learning opportunities. It promotes the early identification of new learning opportunities to further increase the social, communication and behavioral repertoire of students. Important

educational and pro-social skill acquisition is achieved through the application developmentally appropriate instruction within contexts that will promote generalization of skills. The CSSS model emphasizes supporting students at a level that most effectively promotes independence and learning in the least restrictive environment.

Applicants who meet all requirements based on the criteria listed in Section 4 – Evaluation – shall be qualified to enter into a contract with DOE within the geographic area of interest. However, due to the limited number of students requiring such services only one contract per geographic area is anticipated for each RFP. The State will evaluate all proposals and select and award contracts determined to be the most advantageous as delineated further in Section 4 – Evaluation.

***At the present time, the Department does not participate in Medicaid reimbursement activities. A change in this status is not anticipated prior to July 2005. At that time, however, the Department may engage in activities to support DOE requests for Medicaid reimbursement of the provision of services identified in this RFP for eligible students. If the Department participates in Medicaid reimbursement for eligible students, DOE will require verification of licensure subject to the terms of this RFP in context of Medicaid reimbursable activities. This requirement will not supersede the provider credentials required in the service activities. Agencies awarded a contract under this RFP will be subject to administrative claiming for all eligible services regardless of licensure, and will be expected to participate in time studies by DOE or their agent(s) three times a year, or more frequently if required. All services under this RFP will be subject to Medicaid audit.***

## **B. Description of the goals of the service**

Educational Services for students such as those exhibiting a combination of severe social, communication, and behavioral deficits are provided by the DOE Comprehensive Student Support System (CSSS). As part of an integrated programmatic approach, these services are designed to provide the individualized support necessary to assist students to participate in standards-based educational opportunities.

The purpose of the Special School is to provide a public separate facility for students in need of a more restrictive setting than is usually available on a public school campus. The outcome of a separate facility placement is to provide the LRE for students who are unable to receive FAPE on a public school campus yet do not require a more restrictive setting such as residential or home bound setting.

There are two basic goals for students who receive their education at the Special School:

1. Provide an appropriate educational program including all specially designed instruction and related services so that the student meets their annual IEP goals and objectives.
2. Provide individualized supports to enable the student to return to a less restrictive environment.

It is expected that the Special School program will be based on the Hawaii State Content and Performance Standards II and best practice educational and behavioral approaches in educating students with severe disabilities. The special school curriculum and methodology will be selected so that it articulates with the home school educational program. This will ensure smooth transition in and out of the special school. The special school supports will adhere to the student's IEP. Provision of services is intended to enable the student to meet his/her annual goals and objectives on the student's IEP.

### **C. Description of the target population to be served**

Students who are eligible for the services described in this RFP must meet the following criteria:

1. The student has a disability described in HAR section 8-56-16 to section 8-56-29;
2. The student needs special education and related services because of the disability described in paragraph (1);
3. The student resides in the State and comes within the following age range (a) at least three years of age and (b) under 20 on the first instructional day of the school year set forth by the department;
4. The student is currently exhibiting severe social, communication and behavioral deficits;
5. The student by the nature and severity of their disability require unique and intensive educational programming; and
6. The student is identified by their IEP team requiring highly specialized educational placement beyond those available on a public school campus.

Within Hawaii, approximately **16** students currently require such services. A significant reduction in this number is not anticipated between the release of this RFP and June 30, 2005. Identification of students in this class is ongoing and is expected to increase based on local and national identification trend analysis. However, as the DOE builds capacity to provide this service the need for contracting for this service may decrease.

**D. Geographic coverage of service**

The services are sought across Oahu with one site in Leeward District and one site in Honolulu District. Refer to Section 3 POS Proposal Applications for specific requirements in submitting proposals by district(s) and complex(es).

**E. Probable funding amounts, source, and period of availability**

It is expected that State funds will be used to support these services. The current general fund appropriation for school based services approximates \$2 million dollars.

Increased funding may be available subject to the availability of funds. It is expected that funding of at least this current level would be allocated for this contract period.

**II. General Requirements****A. Specific qualifications or requirements, including but not limited to licensure or accreditation**

The applicant shall comply with the Chapter 103F, HRS Cost Principles for Purchases of Health and Human Services identified in SPO-H-201 (Effective 10/1/98), which can be found on the SPO website

<http://www.spo.hawaii.gov>

Click on *Procurement of Health and Human Services*

Click on *For Private Providers*

Click on *Forms*

Click on *Budget Application Forms for Request for Proposals*

Applicant must hold an appropriate certification or license to practice independently, for those activities restricted by licensure laws, or ensure and demonstrate the availability of appropriate supervision.

**B. Secondary purchaser participation**

(Refer to §3-143-608, HAR)

☒ Allowed ☐ Unallowed

**C. Multiple or alternate proposals**

(Refer to §3-143-605, HAR)

☐ Allowed ☒ Unallowed

**D. Single or multiple contracts to be awarded**

(Refer to §3-143-206, HAR)

☒ Single                      ☐ Multiple                      ☐ Single & Multiple

**E. Single or multi-term contracts to be awarded**

(Refer to §3-149-302, HAR)

☒ Single term (< 2 yrs)                      ☐ Multi-term (> 2 yrs.)

Contract terms:

Contracts will be awarded for a one (1) year period, with the possibility of up to an additional one (1) year extension upon the execution of a Supplemental Agreement. The contract extension will be contingent upon potential changes to DOE's approach to service delivery.

**F. RFP contact person**

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the winning provider or providers. Written questions should be submitted to the RFP contact person and received on or before the day and time specified in Section I, Item IV (Procurement Timetable) of this RFP.

Ms. Marilyn Jakeway, Acting State Educational Specialist (Autism)  
Department of Education, Special Education Services Branch  
641 18<sup>th</sup> Avenue, Room V-102  
Honolulu, Hawaii 96816  
Phone: (808) 735-8250 x256                      Fax: (808) 735-6228

**III. Scope of Work**

The scope of work encompasses the following tasks and responsibilities:

**A. Service Activities (Minimum and/or mandatory tasks and responsibilities)**

The applicant shall provide a structured educational placement with integrated educational and behavioral services for students exhibiting a combination of severe social, communication and behavioral deficits that precludes FAPE in a lesser restrictive environment and places them at risk for more restrictive placements. The program will be a twelve (12) month program lasting at least six (6) hours per day, five (5) days a week, excluding observed DOE, State and Federal holidays. Educational components will be broad enough to meet each student's unique educational needs according to the IEP goals/objectives and will include the following:



- Specialized educational programming to address social, communication and behavioral deficits;
- Specially designed standards-based instruction to address the student's academic needs;
- Related services as required in student's IEP;
- Functional Behavioral Assessment/Behavioral Support Plan reviewed at least quarterly;
- Evidence based interventions;
- Parent education/training;
- Medication Management, if needed;
- Long term and discharge transition planning;
- Social skills training;
- Interpretive services, if needed;
- Participation in internal reviews or service testing;
- All curriculum and instructional materials and equipment, such as desks, computers, and classroom supplies needed to implement the student's IEP;
- Provide lunches and snacks that follow federally accepted nutritional guidelines; and
- Transportation to and from special school site will be provided by DOE, however, mid-day transportation needs must be provided by the agency.

The intensity of the educational program in this setting will be sufficient to meet the student's needs without an extension of the school day, however, services must be available to accommodate any student with a need for extended school day/year programming should the IEP team deem it necessary.

***The details of each service are listed below in Section B- Work Activities. Any response must respond for all of the services contained in this RFP. A response that omits any of these services will not be considered and will be rejected as non-responsive. Responses to this RFP may also be awarded contracts for other outsourced services. There is no restriction prohibiting providing assessments and direct services in the same district.***

**Applicants responding to provide these services must adhere to the following provisions for any service activity:**

- Provide time-limited services based on an evidence based educational model conducive to success in meeting academic and/or social goals and objectives in the IEP and Hawaii Content and Performance Standards II.
- Provide appropriate transitioning among providers or as contracted services are no longer needed by the DOE to DOE personnel.  
Transitioning among providers should include discussion of the student's current level of functioning on IEP goals being worked on, progress on the implementation of the service plan, discussion of student's strengths and

weaknesses, and demonstration of instructional strategies that have proven to be effective with the student.

- Provide to the school a written service plan.
- Provide written quarterly progress summary reports to the home school, utilizing the prescribed DOE format. See Section 5, Attachment C. Quarterly is defined in terms of the school year. The report must be submitted two weeks before the end of the quarter. Also, a report is due at the end of each ESY period for students who are eligible for this service during the ESY period. This will be subject to the use of ISPED, or another designated reporting system specified by the DOE. In the event ISPED is amended or unavailable, the provider shall use the data system specified, or alternatively, DOE may authorize substitution of hard copy reporting utilizing a designated format. In the event a paper system is instituted, the same timelines for reports shall apply.
- Provide services according to time and frequency parameters specified by the DOE and not to exceed the time or units authorized. In addition, provide services in a timely manner, e.g., do not provide all authorized contract hours for the month in a few sessions at the end of the month, unless such an arrangement is specified within the IEP.
- Provide services at the student's school, or at a site identified by the IEP Team as best suited to address IEP goals and objectives, in consultation with the provider.
- Wear appropriate identification when visiting a school campus.
- Sign in at the school office when entering a school campus, and sign out when leaving a school campus.
- Maintain appropriate levels of contact (as specified per service) with families and school staff.
- Make contact with the school staff and/or student/family within one week of procurement and be able to initiate service within two weeks of procurement.
- Demonstrate capability to provide timely scheduling of appointments, processing of documents, and participation in conference meetings.
- Demonstrate competency in the services to be provided, including specific competencies related to the educational implications of severe social, communication and behavioral deficits.
- All contract providers and agency staff members providing direct services must have attended, and have documentation to the effect that he or she has completed at least forty (40) hours of annual professional development. Such professional development must be directly related to his or her work responsibilities, and be completed **before** beginning service delivery.
  - Within the required forty hours of professional development, all contract providers and agency staff members must have at least thirty (30) hours of basic training including, but not limited to, crisis field assessment and intervention, suicide assessment, risk assessment, clinical protocols, documentation, and knowledge of community

resources, as well as training regarding court processes and legal documents relative to emergency procedures, plus specific legal issues governing informed consents. Such basic training must be completed prior to performing crisis outreach services.

- All contract providers and agency staff members providing direct services must also receive information and training regarding the following topics:
  - IDEA and HAR Chapter 56 requirements, including procedures and eligibility criteria;
  - Family Educational Rights and Privacy Act and HAR Chapter 36 requirements;
  - HAR Chapter 19 procedures and requirements;
  - State laws regarding child abuse and neglect reporting, reporting criminal behavior and threats regarding suicide and homicide;
  - Crisis intervention procedures, including suicide precautions;
  - A review of the Hawaii CASSP Principles;
  - A review of the Comprehensive Student Support System (CSSS);
  - An understanding of educationally relevant interventions and recommendations; and
  - An understanding of team-based decision-making.
- Documentation of professional development shall include the name of the in-service, the name of the instructor, date, place and time of in-service. Individuals must have signed in on official in-service registration sheets. Team meetings and supervisory sessions may not be substituted for professional development.
- Participate in District/Complex Quality Assurance Meetings at the request of DOE.
- Participate in due process requirements at the request of DOE.
- Participate in the Internal Monitoring process at the request of DOE.
- Participate in IEP meetings once placement has been made.
- Participate in student specific team meetings at the request of DOE.
- Provide information to DOE personnel/IEP teams on program services.
- All contract providers and agency staff members must adhere to the DOE Water Safety Guidelines. See Section 5, Attachment D.

The applicant shall submit documentation and evidence of collaborative relationships with schools, complexes, districts, other individual providers and community agencies, including Children's Community Councils.

In the event the applicant intends to integrate services with schools, agencies, and other DOE contracted providers, applicants presuming to utilize any community assets, staff, facilities, or instructional resources, including those of the DOE, shall submit documentation of any agreements with the relevant community agency(ies) confirming the applicant's intent to participate in service delivery in the event the applicant is successful and awarded a contract.

The applicant must identify what services would be provided with a description of how they best address the needs of the targeted population, described under “Section I – C. Description of Target Population.”

## **B. Work Activities**

The applicant should address how they will provide special education and related services in a public separate facility (Special School).

### **1) Referral and Intervention Planning**

- a. Program staff will be available to meet with school teams for consultation and information sharing.
- b. Programs will accept students identified by IEP teams as meeting entrance requirements, with a no-rejection policy. The IEP team will make any change in program and/or placement.
- c. Program staff will collaborate with DOE to develop an appropriate transition plan for entry/exit into the program no longer than one week after placement determination is made. At the same time, base line data will be reviewed and exit criteria determining student transition back to a less restrictive environment will be quantified.
- d. All referral materials, including functional behavioral assessment and IEP behavior support plans will be reviewed with all staff expected to be involved in instruction or service provision.
- e. Following student absences of three (3) consecutive days, program will contact student’s family and document the reason for non-attendance. Program will contact student’s home school to supply dates of absences and reasons. Prior to the 11<sup>th</sup> day that the student will be absent (cumulative per school year) program will notify student’s home school, and school administrator will determine if an IEP meeting to review educational placement is needed.
- f. When disciplining or suspending a student, program staff will follow Chapter 19 and Chapter 56 guidelines and report each occurrence to the respective school administrator and appropriate district educational specialist within 24 hours.

### **2) Program contents: Will be designed to address IEP goals and objectives as well as specific referral concerns.**

- a. Academic instruction
  - i. The program will implement the student’s IEP.
  - ii. The program will provide specialized instruction in all academic areas appropriate to the student’s age and developmental level.
  - iii. The program will provide all educational information to the home school upon student’s return so that all credits can be issued.

- iv. Statewide assessments will be administered by DOE personnel at the special school site within the testing window time frame, for each student in a benchmark year.
  - v. A standardized annual reading comprehension assessment will be completed by DOE personnel at the special school site at least 90 days prior to each student's annual IEP due date.
  - vi. Educational services shall be consistent with the Hawaii Content and Performance Standards II relevant to the ACCN credit desired. Documentation of the number of hours of instruction by course shall be available to the appropriate DOE school upon transition planning to assist in granting of academic credit to and the proper placement of the student.
  - vii. The program will hire and supervise educational staff, including certified special education teachers, related service personnel and educational assistants.
- b. Positive Behavioral Support
- i. Establish a classroom climate of "positive behavioral support," so that students achieve clearly delineated behavioral goals and objectives. The support program will be based upon a functional behavioral assessment including all behaviors necessitating an intervention of this restrictive nature, resulting in a behavioral support plan (BSP).
  - ii. The following forms of discipline is prohibited:
    - 1. Degrading punishment;
    - 2. Corporal or other physical punishment;
    - 3. Forced physical exercise solely for the purpose of eliminating behavior rather than for instructive or athletic value;
    - 4. Punitive work assignments;
    - 5. Group punishment for individual behavior;
    - 6. Medication for the purpose of punishment;
    - 7. Extended isolation of the student;
    - 8. Deprivation of student rights or needs;
    - 9. Painful aversive stimuli;
    - 10. Use of seclusion or mechanical restraints;
    - 11. Use of any locked facilities; and
    - 12. The administration of noxious substances.
- c. Medication and Medical Emergencies
- i. The special school is prepared to deal effectively with injuries, accidents, and illnesses and other medical and behavioral crises, as follows:
    - 1. Procedures for handling such situations have been developed in consultation with a health professional to protect the served students;
    - 2. Personnel involved in direct care are trained in basic first aid and retrained every three years;

3. Personnel receive training in the identification of abuse and neglect and in mandated reporting requirements;
  4. One staff member on duty is trained and currently certified in cardio-pulmonary resuscitation;
  5. Telephone, first aid supplies and manuals are readily available;
  6. Individual case records contain the names of family physician, clinic or hospital used in emergencies, and written authorization from the parent/legal guardian for emergency care; and
  7. Individual student records, including crisis management plans, are reviewed with all staff that interacts with applicable students.
- ii. Establish emergency procedures and has either a licensed physician available on-call during its hours of operation or has formal arrangements for emergency services with a nearby primary health care facility.
  - iii. Promptly report any serious accident, emergency or dangerous situation in writing to appropriate authorities. School staff will follow all mandated reporting of instances of suspected abuse. All reports will be sent to the respective school administrator and to the appropriate district educational specialist. See Section 5, Attachment E.
  - iv. The Special School assists student taking medications and establishes controls governing proper assistance and storage which include all of the following:
    1. Locked storage with supervision and access by only those staff trained and authorized;
    2. Proper labeling, with name of student, dosage, name of medication, and name of prescribing physician;
    3. Destruction of out-of-date medication; and
    4. Proper disposal of unused medication, syringes, and medical waste.
  - v. Provides for a safe physical environment.
- d. Interventions
- i. Evidence based interventions will be the primary mode of service delivery used to address student specific needs,
  - ii. Agency will provide any and all IDEA required related services, including but not limited to occupational therapy, physical therapy, speech therapy and transportation except to and from program. In the event of a missed session of any IDEA required related service, please refer to the Procedures on Documenting Provision of Related Services document. See Section 5, Attachment F.
- e. Transitions/Exit
- Transitions will occur in accordance with the following steps:

- i. The IEP team has met, reviewed student progress and determined that the exit criteria are met.
- ii. The IEP team reviewed the IEP and revised it as needed.
- iii. The IEP team determined that placement should change.
- iv. Special school staff and DOE personnel collaboratively developed a transition plan to support the student's success in the less restrictive environment.
- v. **There will be no exit without an IEP change of placement decision.**

### 3) **Staffing**

- a. Qualified multidisciplinary staffing is available to address all educational, social, behavioral and communication needs of the students.
- b. The teacher is licensed in Special Education with training in educating students who exhibit a combination of severe social, communication and behavioral deficits. At a minimum the teacher should have knowledge of and experience using evidence based instructional interventions including but not limited to applied behavioral analysis principals, discrete trial teaching, functional visual communication systems, structured teaching approaches, and typical child development.
- c. Licensed related service providers in areas to include (but not limited to): Speech Language Pathologist, Occupational Therapists and others as identified in the IEP.
- d. All paraprofessional staff must meet NCLB requirements.
  - i. Option 1 - 48 credits
    - Credits must be 100 level or higher in any subject area.
    - If earned after June 30, 2003, credits must include 3 credits in Math and 3 credits in English.
    - Must be earned from a regionally accredited institution.
    - Agencies must have all transcripts on file.
  - ii. Option 2 - Associate's Degree
    - Degree must be earned with 100 level or higher courses.
    - For employees who earned a degree prior to January 8, 2002, the degree may include less than 100 level courses.
    - Must be earned from a regionally accredited institution.
    - Agencies must have all transcripts on file.
  - iii. Option 3 – DOE compliance
    - Has met NCLB requirements under DOE guidelines and training.
- e. Adequate staff to student ratio, defined as not less than 1:6 teacher student ratio with individualized adult support as identified in student's IEP is provided at all times to ensure safety for all activities

and takes into consideration student characteristics. This is the total responsibility of the Special School program. DOE will not provide additional staff.

- f. Staff is available to ensure student safety for early arriving or late departing students.
- g. To ensure appropriate family involvement, the agency is responsible for locating and providing interpreters for families whose limited English proficiency or mode of communication would inhibit their ability to meaningfully participate in the student's education.

#### **4) Monitoring Student Progress Criteria**

- a. Special school staff will schedule and complete monthly meetings for each student to review student status. Special school staff will be responsible to invite DOE personnel such as the student's IEP care coordinator, SPED and regular education teachers as appropriate, school administrator, and student's parent if appropriate to each meeting. Costs accrued for these meetings are included as part of the program.
- b. School staff will collect daily data on each IEP goal being addressed on that day. Licensed/Certified school staff will aggregate and analyze the student's data and will provide written progress reports to student's IEP care coordinator two weeks before the end of the quarter.
- c. The special school staff will participate in a progress report meeting that will include the parents and school representatives. The review will address at least the following:
  - i. Specific level of student current functioning
  - ii. Review of data
  - iii. Review of exit criteria
- d. All agencies must participate in at least annually, and frequently quarterly contract monitoring. All documentation and all students' records must be made available upon request by the DOE or for audits scheduled by DOE.

#### **C. Management Requirements (Minimum and/or mandatory requirements)**

##### **1) Personnel**

###### *Provider Networks and Supervision Requirements:*

Applicants may choose to hire direct employees, or establish a network of professional providers. If the applicant utilizes a network of independent providers, each practitioner must meet the state requirements to provide behavioral health services as an independent practitioner. The applicant shall assume responsibility for the quality of work provided by its



employees, subcontracted providers, and volunteers. The applicant shall also be responsible for monitoring the work of all subcontractors and ensure that expectations and responsibilities of the applicant and its employees are equally placed on subcontracted providers. Each applicant must identify how personnel will be trained to ensure that services provided are consistent with an educational model and are consistent with evidence based interventions for the populations addressed in the proposal.

An applicant must address supervision and monitoring of the quality of services of all employees and contracted personnel.

The applicant must ensure that employees, subcontracted providers and volunteers adhere to all applicable state laws regarding the obtaining and releasing of confidential student information. The agency shall adopt and implement policies and procedures that govern the provision of services in natural settings and documents that it respects students' and/or families' right to privacy when services are provided in these settings. The DOE shall have the right to inspect these policies. Educational records are governed under FERPA; these documents are the property of DOE. Parental consent for assessment and release of information is covered by the IEP/MP consent. No additional parental consent for assessment or release is needed by the contracted provider.

*Criminal History Record Checks:*

*At this time, the Department is actively seeking legislation that will amend current law to allow the DOE to perform local and national fingerprinting checks of all of its employees, subcontracted providers and volunteers who work in close proximity to children. It is anticipated that legislation will be enacted and rules implemented in July 2005. Applicants awarded contracts under this RFP will be subject to any statutory or regulatory requirements promulgated for this purpose.*

*Applicants should be prepared to conduct the following record checks:*

The applicant shall require criminal history checks on all employees, subcontracted providers, and volunteers as provided under Section 302A-601.5, HRS and HAR 8-7. The DOE shall perform the fingerprint and criminal history checks and charge the applicant a reasonable fee for all costs associated with conducting and processing criminal background checks of all applicant's employees, subcontracted providers, and volunteers, including, but not limited to administrative and program staff members who work in close proximity to children as a result of being awarded a contract under this RFP. Applicants shall require all employees, subcontracted providers, and volunteers to complete a copy of DOE Form 90. Fingerprinting checks required under this Section shall be competed

before any employee, subcontracted provider, or volunteer of the applicant is assigned to any work site.

The applicant shall maintain a record of the mandatory criminal history checks performed on each of its employees, subcontracted providers, and volunteers in compliance with the above. A local criminal history check is required every three years.

Additionally, the applicant shall maintain and update a list of all new employees, subcontracted providers, and volunteers that document the status and completion dates of the mandatory background checks.

The Department reserves the right to monitor the applicant's compliance with this stipulation on an annual basis, at a minimum, through either an on-site evaluation or a documentation review.

## **2) Administrative**

All applicants must identify procedures to maintain personnel files of the training, supervision, appropriate credentialing, and ongoing monitoring of all employee, subcontracted provider, and volunteer performance.

Applicants must identify how they would provide the necessary infrastructure to support the provision of services under this RFP.

An organization chart which clearly defines the applicant's lines of authority and organizational functions must be included.

Applicants must also submit personnel updates, on a monthly basis, to reflect any changes in staffing (i.e., new hires, terminations, changes in credentialing) for the organization's officers and **direct service** personnel. Current copies of the resumes or curriculum vitae and copies of licenses or certificates for all new hires or changes in credentialing must also be submitted.

Applicants must maintain written policies and procedures that will identify the applicant's process for primary source verification of all personnel.

## **3) Quality assurance and evaluation specifications**

All applicants must participate in, at least annually or frequently quarterly, contract monitoring. DOE will monitor the contractors for program quality assurance. The areas of expected compliance:

- a. Provision of licensed staff and credential staff;
- b. Following of the student's IEP;

- c. Delivery of evidenced based educational programming;
- d. Systematic data collection; and
- e. Analysis of data of evidence of program adjustments based on data.

All documentation and all student records must be made available upon request by the DOE, or for audits scheduled by the DOE.

All applicants must describe in detail a Quality Assurance Plan (QAP). Applicants must implement an internal QAP to assure the delivery of quality educational services, program assessment, and continuous improvement. The QAP will include evidence supporting their plan and will be available for District/State DOE review.

#### **4) Output and performance/outcome measurements**

At a minimum these measures must include:

- Satisfaction of schools and parents with the services;
- IEP quarterly progress reports and outcome measures related to academic achievement and behavioral success in school, at home, and in the community to be reported to the home school two weeks prior to the end of the quarter;
- Timeliness of services, which includes initiation of services as outlined in this RFP and data collection and reports provided by due dates; and
- Services provided are aligned with DOE educational philosophy and complement student's educational curriculum.

#### **5) Experience**

Please refer to specific credentialing requirements as detailed in Section 2, B, "Work Activities."

#### **6) Coordination of Services**

Please refer to specific requirements as detailed in Section 2, B, "Work Activities."

#### **7) Reporting requirements for program and fiscal data**

##### *a. Program Requirements:*

The development and implementation of an integrated Special Education Management Information System (ISPED) is a result of the *Felix* Consent Decree and will enable the Department to integrate with other existing systems and generate consolidated statistical information regarding student population, services and other related items (e.g., school lunch,

attendance and graduation rates) from one location. ISPED is web based and accessible from all schools, state offices, and district offices, etc.

In addition, the Department desires to utilize technology in implementing such features as workflow, electronic forms, profiling, item banking of services and recommendations, electronic plan generation, case coordination, case management and the measurement of the effectiveness of services.

Applicants shall input information into the ISPED modules such as: 1) IEP; 2) Visit Record; and 3) Progress Report and other modules that DOE may require. For any event in which work was done with the student, a visit record must be entered into ISPED within 24 hours of its occurrence. If in the event this is not possible, then an event shall be recorded in a paper format to be identified by DOE at a later date.

Data entry into ISPED (along with applicable requirements within each service activity) must be completed before invoice submission and payment.

At a minimum, applicants are required to have computer hardware that supports: 1) 32MB RAM running Microsoft Windows 95 or higher, or 32 MB RAM running Max OS 8.5 or higher; 2) Microsoft Word and Excel; 3) Internet Connection, Internet Explorer 5.0 or higher, Internet email; 4) Adobe Acrobat 4.0 or higher; and 5) Laser printer. Applicants are responsible for arranging for their Internet connections; DOE will not provide this service. Applicants must also provide their own equipment, training and technical support. Email may be used for all provider correspondence and applicants will be responsible for checking accounts.

**ISPED vs HARD COPY FORMATS**

<b>CONTRACT</b>	<b>REPORT REQ'D</b>	<b>ISPED</b>	<b>HARD COPY</b>
Special School	Quarterly Progress Reports	<i>no</i>	<i>yes</i>

Applicants must submit documentation and evidence of policies and procedures regarding sentinel events and incidents. See Section 5, Attachment E. At a minimum, these policies should address: (1) how the applicant will notify respective school administrator and to the appropriate District Educational Specialist within 24 hours by fax or phone and in writing within 72 hours of any event that compromises the safety of a student; (2) how the applicant tracks the occurrence of all sentinel events and incidents to identify trends and patterns in order to implement improvements; and (3) a complete analysis of the event as well as actions taken to address the event.

Applicants must submit documentation and evidence of policies and procedures regarding the use of restraints.

*b. Fiscal Requirements:*

Original monthly claims/invoices, along with the DOE billing diskette, must be submitted within 14 calendar days after the last day of each calendar month to the applicable district. A sample billing diskette may be obtained from DOE upon the execution of a contract from the School Based Behavioral Health Services Section (SBBH) office referred to in this RFP. Invoices and billing diskettes shall be submitted to the SBBH Contract Specialist of the applicable school district. All appeals and corrections for reporting/invoice rejections must be resolved within the next 60 calendar days and late claims will not be accepted. Any appeals and corrections for reporting/invoice rejections shall constitute the end of DOE's requirement to pay within 30 days upon receipt of the original invoice. DOE's requirement to pay within 30 days starts on the day the corrected invoice is re-submitted and accepted by DOE. All provider reporting data must be submitted in the manner and format specified by DOE. See Section 5, Attachment G.

The Department reserves the right to audit the agency's financial records and billing documentation on an annual basis, at a minimum, through either an on-site evaluation or a documentation review.

*c. Final Reports and Other Documentation:*

The agency shall, at the completion of the contract period, submit a final written report summarizing contract performance to DOE in a format to be prescribed by DOE. See Section 5, Attachment H.

The agency shall submit the original tax clearance certificate upon the execution of a contract with DOE and with the final invoice.

**8) Pricing Structure or Pricing Methodology to be Used**

Pricing structure should be based on a negotiated unit of service rate. In order to determine a price (unit rate) for a unit of service, the applicant and state purchasing agency negotiate the total costs (including agency administration) for operating a program at a specific capacity and divide by the total number of units of services that the program can produce at that capacity. The applicant is requested to furnish a reasonable estimate of services it can provide for which there is sufficient operating capacity (adequate, planned and budgeted space, equipment and staff).

The unit rate may be subject to negotiation based on the amount of services needed.

**9) Group Monthly Rate**

Applicants' proposal will be submitted using a monthly group rate based on the number of students identified by the geographic area of interest. DOE reserves the right to exceed the base rate up to two students for one month at no extra cost. Conversely, if the student enrollment should drop below the base rate number of students, DOE will pay the base rate. This monthly group rate should include all direct and indirect costs associated with administering the program. Lunches, snacks, attendance at IEP meetings, break times and consultation with DOE personnel and/or IEP teams about program services, and if applicable, transportation should be considered an included cost.

**D. Facilities**

Applicants need only to respond to this section if applicable to the service. Applicants should be clear where the services are to be provided, and if they will be delivered at a specific site. If so, this section would apply.

The applicant shall provide a description of its facilities and demonstrate its adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. Also describe how the facilities meet ADA requirements, as applicable, and special equipment that may be required for the services.

### Section 3

## POS Proposal Application Instructions

#### General instructions for completing applications:

- *POS Proposal Applications shall be submitted to the Department of Education using the prescribed format outlined in this section.*
- *The numerical outline for the application, the titles/subtitles, and the applicant organization and RFP identification information on the top right hand corner of each page should be retained. The instructions for each section however may be omitted.*
- *Page numbering of the POS Proposal Application should be consecutive, beginning with page one and continuing through each section.*
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *Applicants must also include a Table of Contents with the POS Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for **each** item unless indicated otherwise. Failure to answer any of the items will impact upon an applicant's score.*
- *Applicants are **strongly** encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPO-H-200A) is available on the SPO Website (for the website address see the Competitive POS Application Checklist in Section 5, Attachments). However, the form will not include items specific to each RFP. If using the website form, the applicant must include all items listed in this section.*

#### The POS Proposal Application comprises the following sections:

- *Title Page*
- *Table of Contents*
- *Program Overview*
- *Experience and Capability*
- *Project Organization and Staffing*
- *Service Delivery*
- *Financial*
- *Other*

## **I. Program Overview**

Applicant shall give a brief overview to orient evaluators as to the program/services being offered.

## **II. Experience and Capability**

### **A. Necessary Skills**

The applicant shall demonstrate that it has the necessary skills, abilities, and knowledge relating to the delivery of the proposed services.

### **B. Experience**

The applicant shall provide a description of projects/contracts pertinent to the proposed services. Applicant shall include points of contact, addresses, e-mail/phone numbers. The DOE reserves the right to contact references to verify experience.

### **C. Quality Assurance and Evaluation**

The applicant shall describe its own plans for quality assurance and evaluation for the proposed services, including methodology. Applicants must create and maintain an internal quality assurance and improvement plan (QAIP) to assure the delivery of quality educational services and a plan for program assessment and continuous improvement. This plan should explain how the agency would ensure outcomes from the services provided. As this is an educationally related service, the primary outcome measure the DOE is accustomed to is an improvement in grades, behaviors, or scholastic criteria as set forth in the student's IEP or MP. Applicant responses should seek to detail how work is evaluated and reviewed by supervisors, and to what degree providers are accountable for providing sound interventions in accordance with the requirements set forth in this RFP.

### **D. Operational Plan**

The applicant should describe in detail how the agency would address operational issues relating to the delivery of the services covered in this RFP. Specifically, the applicant should provide how it will handle new referrals, its policies and procedures for initiating services, ensuring records and reports are accounted for within timelines, how it monitors and verifies service delivery prior to and after billing claims have been submitted, and will comply with the terms of this RFP or subsequent contract. In addition, the proposal should reflect how the applicant



addresses concerns about its service providers, and how it resolves questions of provider conduct or performance.

If applicable, the applicant response should detail how the plan reflects past practice, or how it has been modified from the agency's prior method of operation. If the applicant has no prior history servicing this population in Hawaii for the Departments of Education or Health, then it should demonstrate how these policies and procedures would be fully adhered to and provide some measure of verification in the proposal that they will be faithfully implemented if a contract is awarded.

**E. Coordination of Services**

The applicant shall demonstrate the capability to coordinate services with other agencies and resources in the community.

**F. Facilities**

Applicants need only to respond to this section if applicable to the service. Applicants should be clear where the services are to be provided, and if they will be delivered at a specific site. If so, this section would apply.

The applicant shall provide a description of its facilities and demonstrate its adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. Also describe how the facilities meet ADA requirements, as applicable, and special equipment that may be required for the services.

**III. Project Organization and Staffing**

**A. Staffing**

**1. Proposed Staffing**

The applicant shall describe the proposed staffing pattern, client/staff ratio and proposed caseload capacity appropriate for the viability of the services. (Refer to the personnel requirements in the Service Specifications, as applicable.) This should be reflected in the supporting resumes or curriculum vitae attached as part of the applicant's response. For each service type specified in the scope of services, the applicant should illustrate what it considers the norm for the qualifications and level of education or experience of its providers.

**2. Staff Qualifications**

The applicant shall provide the minimum qualifications (including experience) for staff assigned to the program. (Refer to the qualifications in the Service Specifications, as applicable.) The applicant shall also describe how staff are evaluated not only for the mandatory background checks, but also for competence and ability to deliver the services in conformity with the applicant's own policies and within the requirements of this RFP.

## **B. Project Organization**

### **1. Supervision and Training**

The applicant shall describe its ability to supervise, train and provide administrative direction relative to the delivery of the proposed services. The supervision ratios of supervisors to staff should be identified for each service activity. The applicant's ability to train its personnel should be specifically addressed. A description of the training program, how it will be enforced and implemented, and what it entails should be specifically described.

### **2. Organization Chart**

The applicant shall reflect the position of each staff and line of responsibility/supervision (Include position title, name and full time equivalency). Both the "Organization-wide" and "Program" organization charts shall be attached to the POS Proposal Application.

## **IV. Service Delivery**

The Service Delivery Section shall include a detailed discussion of the applicant's approach to applicable service activities and management requirements from Section 2, Item III. - Scope of Work, including (if indicated) a work plan of all service activities and tasks to be completed, related work assignments/responsibilities and timelines/schedules.

***Applicant responses shall address how they will deliver each service activity detailed in Section 2. Responses must include the provision of all services listed in this RFP. Applicants may not choose to omit any of the services in their response. Failure to address all of the service activities will be deemed as non-responsive and the proposal shall be rejected.***

There is some divergence in nature and possible approaches to the services requested in this RFP. Applicants should indicate in the service delivery section how they would approach EACH of the services they are responding to. A generic response to how services will be addressed will not be scored highly. This section should contemplate the methodology, program integration, and allow a reviewer to differentiate one response from another for each service (i.e., a section discussing only assessments, a section discussing only parent education/training, etc.).

Applicants shall provide services for all schools within the district(s) they propose to serve, including those schools in remote complex areas. Pay particular attention to the district's definition of geographic area. For a list of schools within each district, go to: <http://nssb.k12.hi.us/cgi-bin/clinks/main.cgi>.

Table 1, Anticipated Contract Service Hours by District, following this section, provides estimates to assist the applicant:

1. Determining unit rate; and
2. Providing minimum number of hours to be purchased by district/complex area for each level of care.

Table 1 was compiled based on data from actual units delivered in the prior fiscal year through DOE. Table 1 does not obligate the DOE to purchase the amount of services indicated, however, it should be used as a guideline of the volume of services that may be needed in each area. Applicants should use this information to determine infrastructure needs as well as cost estimates based on the information presented. Reduction in these numbers is not anticipated between the release of this RFP and June 30, 2005.

TABLE 1.

ANTICIPATED CAPACITY NEEDED BY DISTRICTS FOR SPECIAL SCHOOL		
	Honolulu	Leeward
SPECIAL SCHOOL	8	8

## V. Financial

### A. Pricing Structure

### **Pricing Structure Based on Unit of Service/Negotiated Unit of Service Rate**

For each district or complex area, if applicable, submit unit rate proposal using the Rate and Cost Summary Worksheet as attached in Section 5, Attachment I.

The unit rate may be subject to negotiation based on the amount of services needed.

Submit for each service, if applicable, a unit rate in providing the services delineated in Section 2, Subsection III. Scope of Work. In proposing a unit rate, include all direct and indirect cost. Examples of indirect costs are travel and phone communication unless specified in each level of care. In arriving at a proposed cost for each level of care, the applicant must contemplate the associated costs for serving all schools within the geographic area and any incentives or other considerations to ensure employees or subcontracted providers will serve these schools.

All budget forms, instructions and samples are located on the SPO website (<http://www.spo.hawaii.gov>). The following budget form(s) shall be submitted with the POS Proposal Application:

- **SPO-H-205 Budget**
- **SPO-H-205A Organization Wide Budget by Source of Funds**
- **SPO-H-205B Organization Wide Budget by Programs**
- **SPO-H-206A Personnel Salaries and Wages**
- **SPO-H-206B Personnel Payroll Taxes, Assessments and Fringe**
- **SPO-H-206C Travel Inter-Island**
- **SPO-H-206D Travel Out of State**
- **SPO-H-206E Contractual Services - Administrative**
- **SPO-H-206F Contractual Services - Subcontracts**
- **SPO-H-206G Depreciation**
- **SPO-H-206H Program Activities**
- **SPO-H-206I Equipment Purchases**
- **SPO-H-206J Motor Vehicle**

When preparing the SPO-H-205 Budget form, the first column should be used to reflect the total cost of the proposal. Applicants should use the additional columns for each specific service they are applying for to reflect the associated costs in delivering that service. If there is a set cost for some aspect of the service delivery, such as an office, the percentage of the cost should be assigned to each service as it relates to that cost. If

an applicant is responding to more services than will fit on one form, they may continue on additional forms as needed.

Applicants should submit one copy of the most recent financial audit report (if applicable), however, the listed budget forms must be submitted for consideration.

DOE reserves the right to ask for additional information (i.e., information supporting or justifying service delivery, or monthly group rate) from each applicant. Additional information must be available for review during the proposal evaluation period.

## **B. Other Financial Related Materials**

### **1) Accounting System**

In order to determine the adequacy of the applicant's accounting system as described under the administrative rules, the following documents are requested as part of the POS Proposal Application (may be attached):

- A description of how applicant's accounting system is organized to handle the contract;
- A description of the applicant's billing procedures including, if applicable, the procedures in which subcontractors are paid;
- Name of individual responsible for the accounting/billing system and his/her qualifications and position description;
- Applicant's most recent program annual report (if available);
- Applicant's most recent financial audit (if available);
- Description of the internal control structure used in the accounting system; and
- If accounting work is subcontracted, please describe.

### **2) Information System**

The applicant shall describe the organization's current type of computer hardware, software, any plans for major changes to comply with Section 2 Service Specifications, C.7. (Reporting requirements for program and fiscal data, and the capability of your staff to use the system.)

**VI. Other**

**A. Litigation**

The applicant shall disclose any pending litigation to which they are a party, including the disclosure of any outstanding judgment. If applicable, please explain.

## **Section 4 Proposal Evaluation**

### **I. Introduction**

The evaluation of proposals received in response to the RFP will be conducted comprehensively, fairly and impartially. Structural, quantitative scoring techniques will be utilized to maximize the objectivity of the evaluation.

### **II. Evaluation Process**

The procurement officer or an evaluation committee of designated reviewers selected by the head of the state purchasing agency or procurement officer shall review and evaluate proposals. When an evaluation committee is utilized, the committee will be comprised of individuals with experience in, knowledge of, and program responsibility for program service and financing.

Applicants who meet all requirements based on the rating listed in this section shall be qualified to enter into a contract with DOE. ***In order to be eligible for a contract award, the applicant must receive a score of 70 points or better as detailed in this section.*** Qualified applicants will be placed on DOE's School Based Services Qualified Providers List. Services will be procured from the contracted agencies on an as needed basis, and any referrals will be determined by the applicable school student services coordinator or designated representative. Selection will be based upon various factors including the applicant's responsiveness to the RFP, applicant's past performance, quality of providers, specific expertise, and fit of the provider.

The evaluation will be conducted in three phases as follows:

- Phase 1 - Evaluation of Proposal Requirements
- Phase 2 - Evaluation of POS Proposal Application
- Phase 3 - Recommendation for Award

**A. Evaluation Categories and Threshold****Evaluation Categories****Possible Points****Administrative Requirements****Pass or Rejected*****POS Proposal Application*****100 Points**

Program Overview	0 points
Experience and Capability	20 points
Project Organization and Staffing	15 points
Service Delivery	55 points
Financial	10 points

**TOTAL POSSIBLE POINTS****100 Points****III. Evaluation Criteria****A. Phase 1 - Evaluation of Proposal Requirements****(1) Administrative Requirements**

- Application Checklist
- Registration (if not pre-registered with the State Procurement Office)
- Federal Certifications
- Rate Schedule

**(2) POS Proposal Application Requirements**

- POS Application Title Page (Form SPO-H-200)
- Table of Contents
- Program Overview
- Experience and Capability
- Personnel: Project Organization and Staffing
- Service Delivery
- Financial (All required forms and documents)
- Program Specific Requirements (as applicable)

**B. Phase 2 - Evaluation of POS Proposal Application (100 Points)****(1) Program Overview**

- The applicant has demonstrated a thorough understanding of the purpose and scope of the service activity.
- The goals and objectives are in alignment with the proposed service activity.



- The applicant has described how the proposed service is designed to meet the pertinent issues and problems related to the service activity.
- The applicant demonstrates a clear understanding of delivery of this service through an educational and not a clinical model.
- The applicant demonstrates a clear understanding of how to deliver these services in concert with the goals and philosophical approach of the Department of Education, and will incorporate its efforts under the Felix Consent Decree, the IDEA, Section 504, Subpart D, and the CASSP principles and integrate these efforts in assisting students to achieve school success.

**Note: No points are assigned to Program Overview. The intent is to give the applicant an opportunity to orient evaluators as to the services being offered.**

**(2) *Experience and Capability (20 Points)***

The State will evaluate the applicant's experience and capability relevant to the proposal contract, which shall include:

- Demonstrated skills, abilities, knowledge of, and experience relating to the delivery of the proposed services in an educationally based approach and through empirically based interventions. Responses should specifically address the experience and capacity of its supervisors, or those overseeing the delivery of the services and their knowledge or expertise in the interventions or in working with this population. [3 Points]
- Sufficiency of quality assurance and improvement plans (QAIP) for the proposed services, including methodology. [8 Points]
- Demonstration of the applicant's specific operational plan to manage and oversee the delivery of services. [8 Points]
- Demonstrated capability to coordinate services with other agencies and resources in the community. [1 Point]

**(3) *Project Organization and Staffing (15 Points)***

The State will evaluate the applicant's overall staffing approach to the service that shall include:

- That the proposed staffing pattern, student/staff ratio, and proposed caseload capacity is reasonable to insure viability of the services. Does the applicant have sufficient staff reflected in the attached resumes or curriculum vitae to provide the amount of services proposed or does the applicant have a clearly detailed and viable plan for obtaining necessary staff? [2 points]

- Minimum qualifications (including experience) for staff assigned to the program. The applicant should have detailed and demonstrated a background review process as well as detailing their screening process for determining competency of providers to deliver interventions in line with the applicant's policies and the requirements of this RFP. [5 points]
- Demonstrated ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services. The supervision ratios of supervisors to staff are reasonable to ensure proper oversight and that the ratios are reflective of the degree of oversight needed for the respective ability of the individual providers. The applicant's ability to train its personnel is specifically addressed and the training program, how it will be enforced and implemented, and what it entails should be specifically described. [7 points]
- Organization Chart (Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks). [1 point]

**(4) *Service Delivery (55 Points)***

Evaluation criteria for this section will assess the applicant's approach to the service activities and management requirements outlined in the POS Proposal Application.

- For each service in this RFP, the response has clearly detailed how the attendant tasks, obligations and reporting will be addressed. Responses should be clear both in their theoretical approach to an educationally based model as well as how this will translate to actual provision of the service(s). [7 points]
- The means in ensuring prompt responses to referral, and a detailed description of the applicant's policies and procedures on how services are referred to their providers. This should also clearly demonstrate how this system will avoid service delays or keep the DOE apprised of service gaps. The response should also address how the applicant will address the provision of substitutes. [6 points]
- The response should address how the applicant will service the remote or out-lying areas in the proposed school district(s) and ensure services will be available throughout the districts. [6 points]
- For each service, it should be clearly detailed how the tasks will be accomplished in a manner that will demonstrate quality outcomes for students. [8 points]

- Evidence that the service activities are in conformity with educational best practices and are evidence based as described in peer reviewed established professional publications. [8 points]
- Demonstration of the applicant's commitment to least restrictive interventions. [6 points]
- Demonstration of the applicant's policies and procedures for identifying, addressing and managing transitions. [6 points]
- Clearly addresses how the services will be delivered collaboratively with DOE, and will focus on assisting the student's functioning in the educational system. [8 points]

**(5) *Financial (10 Points)***

The DOE will evaluate the applicant's cost proposal(s) and description of the applicant's overall fiscal operations that will include:

- Degree of competitiveness of unit cost(s) as comparable to all prospective service providers. [4 points]
- Degree to which the cost proposal(s)/budget(s) justifies the proposed unit cost(s). [5 points]
- Adequacy of accounting system and infrastructure to support electronic/manual billing requirements including a demonstration of the applicant's ability to accurately track cost of related services by student served. [1 point]

**C. Phase 3 - Recommendation for Award**

Each notice of award shall contain a statement of findings and decision for the award or non-award of the contract to each applicant.

## **Section 5 Attachments**

<b><u>Attachment</u></b>	<b><u>Document</u></b>
A	Competitive POS Application Checklist
B	POS Table of Contents
C	Quarterly Progress Summary Report
D	DOE Water Safety Guidelines
E	Sentinel Event/Incident Notification
F	Procedures on Documenting Provision of Related Services
G	DOE Standard Invoice
H	Final Report
I	Rate and Cost Summary Worksheet
J	Federal Certifications

# Proposal Application Checklist

Applicant: \_\_\_\_\_

RFP No.: \_\_\_\_\_

The applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the state purchasing agency as part of the Proposal Application. \*SPO-H forms are located on the web at <http://www.spo.hawaii.gov> Click *Procurement of Health and Human Services* and *For Private Providers*.\*

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
<b>General:</b>				
Proposal Application Identification Form (SPO-H-200)	Section 1, RFP	SPO Website*	<b>X</b>	
Proposal Application Checklist	Section 1, RFP	Attachment A	<b>X</b>	
Table of Contents	Section 5, RFP	Section 5, RFP	<b>X</b>	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	<b>X</b>	
Registration Form (SPO-H-100A)	Section 1, RFP	SPO Website*	<b>(Required if not Registered)</b>	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*		
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*		
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions is applicable, Section 5		
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions, Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*		
SPO-H-206B	Section 3, RFP	SPO Website*		
SPO-H-206C	Section 3, RFP	SPO Website*		
SPO-H-206D	Section 3, RFP	SPO Website*		
SPO-H-206E	Section 3, RFP	SPO Website*		
SPO-H-206F	Section 3, RFP	SPO Website*		
SPO-H-206G	Section 3, RFP	SPO Website*		
SPO-H-206H	Section 3, RFP	SPO Website*		
SPO-H-206I	Section 3, RFP	SPO Website*		
SPO-H-206J	Section 3, RFP	SPO Website*		
<b>Certifications:</b>				
<b>Federal Certifications</b>		Section 5, RFP		
Debarment & Suspension		Section 5, RFP		
Drug Free Workplace		Section 5, RFP		
Lobbying		Section 5, RFP		
Program Fraud Civil Remedies Act		Section 5, RFP		
Environmental Tobacco Smoke		Section 5, RFP		
<b>Program Specific Requirements:</b>				

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date

## Proposal Application Table of Contents

<b>I.</b>	<b>Program Overview.....</b>	<b>1</b>
<b>II.</b>	<b>Experience and Capability .....</b>	<b>1</b>
	A. Necessary Skills .....	2
	B. Experience.....	4
	C. Quality Assurance and Evaluation.....	5
	D. Coordination of Services.....	6
	E. Facilities.....	6
<b>III.</b>	<b>Project Organization and Staffing .....</b>	<b>7</b>
	A. Staffing.....	7
	1. Proposed Staffing.....	7
	2. Staff Qualifications .....	9
	B. Project Organization .....	10
	1. Supervision and Training.....	10
	2. Organization Chart (Program & Organization-wide) (See Attachments for Organization Charts)	
<b>IV.</b>	<b>Service Delivery.....</b>	<b>12</b>
<b>V.</b>	<b>Financial.....</b>	<b>20</b>
	See Attachments for Cost Proposal	
<b>VI.</b>	<b>Litigation.....</b>	<b>20</b>
<b>VII.</b>	<b>Attachments</b>	
	A. Cost Proposal	
	SPO-H-205 Proposal Budget	
	SPO-H-206A Budget Justification - Personnel: Salaries & Wages	
	SPO-H-206B Budget Justification - Personnel: Payroll Taxes and Assessments, and Fringe Benefits	
	SPO-H-206C Budget Justification - Travel: Interisland	
	SPO-H-206E Budget Justification - Contractual Services – Administrative	
	B. Other Financial Related Materials	
	Financial Audit for fiscal year ended June 30, 1994	
	C. Organization Chart	
	Program	
	Organization-wide	
	D. Performance and Output Measurement Tables	
	Table A	
	Table B	
	Table C	
	E. Program Specific Requirements	

Department of Education – Special School Contract  
Quarterly Report

Provider Name and Title (print) \_\_\_\_\_ Aloha Provider \_\_\_\_\_

Provider Signature \_\_\_\_\_ Date: \_\_\_\_\_ 10/03/03 \_\_\_\_\_

Student Name (print) \_\_\_\_\_ Sam Student \_\_\_\_\_

School/Program attending \_\_\_\_\_ ABC Elem \_\_\_\_\_ Student ID Number \_\_\_\_\_

Quarter \_\_\_\_\_ 1<sup>st</sup> - August to October \_\_\_\_\_

**IEP Goal(s)/Objective(s) (attach separate sheet if necessary):**

1. Student will increase his ability to handle frustration, excitement/anxiety and situations requiring flexibility in a calm manner.
  - a. Student will practice calming techniques (e.g. deep breathing, listening to music) through imitation following an instruction to do (e.g. “relax”, “show me calm”) 4 out of 5 opportunities presented.
  - b. Student will practice a calming technique following an instruction to do so 4 out of 5 opportunities presented.
2. Student will increase interactive play skills, develop concept of turn taking and waiting, and increase flexibility involving play activities and routines.
  - a. In structured settings, Student will demonstrate the ability to wait his turn during simple interactive activities with an adult (e.g. “Your turn,” “Whose turn is it?”) using verbal prompting.

**Report of progress toward each IEP Goal(s)/Objective(s) (provide specific progress in measurable terms and include data summaries)**

1. Student has made progress on goal and objective #1a. see attached data sheet showing an increase over the last 2 weeks in his ability to imitate skills trainer when prompted with “show me calm”.
2. Student has shown no progress in waiting his turn (see data sheet attached), will go back to using a physical prompt and then fading physical prompt to verbal prompt.

**Comments/Suggestions:**

Will now work on fading the imitation prompt “show me calm” to implement objective #1b.

**Note:** This report is due to the IEP care coordinator within five (5) calendar days of the end of the quarter.

Department of Education – Special School Contract  
Quarterly Progress Summary Report

Provider Name and Title (print): \_\_\_\_\_

Provider Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Student Name (print): \_\_\_\_\_

Student ID Number: \_\_\_\_\_

School/Program attending: \_\_\_\_\_

Quarter: \_\_\_\_\_

IEP Goal(s)/Objective(s) (attach separate sheet if necessary):

Report of progress toward each IEP Goal(s)/Objective(s) (provide specific progress in measurable terms and include data summaries):

Comments/Suggestions:

Note: This report is due to the IEP Care Coordinator two weeks before the end of the quarter.



**Department of Education**  
**Guidelines for Water-Related Activities**

**Regulations**

1. Planning for water-related activities shall include:
  - a. Objectives clearly related to Individualized Education Program/Modification Plan (IEP/MP) goals and objectives
  - b. Clearance with authorities involved at the visitation site;
  - c. Arrangements with regard to contact persons, transportation, parental permission, supervision adequate for maintaining safety.
  
2. Safety provisions for water-related and non water-related activities in natural environments shall adhere to applicable Department of Education procedures and guidelines and site agency's rules and procedures and shall include:
  - a. Assessment of site to identify hazards prior to planned activity;
  - b. Specific warnings and reminders about the identified hazards, when necessary; and
  - c. Adequate supervision to meet the conditions of the activity at the time.

### **Planning and Preparation:**

1. All water-related activities must be an extension of the standards-driven classroom instructional program or part of a DOE approved activity. Clear objectives must be established which relate to the specific IEP/MP goal and objective being worked on.
2. Staff must conform with all swimming, boating and other water-related activity protocols.
3. Parents/guardians must be informed of the inherent dangers and hazards associated with the activity. Documentation of understanding and agreement by parents/guardians must be received prior to participation and must be kept on file.
4. Parental permission forms should be reviewed prior to the activity. Forms should include student medical information and be carried on the field trip.
5. Staff must conduct an assessment of the site to identify hazards prior to the planned activity and develop appropriate safety instruction for all participants.
6. All staff and students will receive appropriate water safety instruction.
7. Supervision should be adequate and appropriate based on the needs of the student and the IEP/MP.
8. An itinerary shall be filed at the agency and shall include names of all staff/students. Changes in the activity will be immediately reported to the agency.

### **On the Day of the Activity/On-Site Checks:**

1. Prior to leaving on the activity, students should be monitored for illness, sores, cuts, and other open wounds. Appropriate follow-up measures should be taken.
2. Upon arrival at the site, survey the area quickly to determine if conditions are "normal". Should any unanticipated hazards be identified, an assessment should be made to determine if the activity should continue. The adult staff member(s) will make that determination.

3. Field dangers and hazards, and emergency safety plans will be reviewed with staff prior to the start of the activity at the field site.
4. Staff should spend several minutes with the students observing the area, looking for unanticipated hazards or heavy surf conditions. Point out the possible hazardous areas to the students.
5. Staff will establish and indicate the boundaries of the area to the students.
6. A review of the emergency procedures will be conducted.
7. Applicable safety precautions should be observed while engaged in the activity. Warnings of hazards and reminders of safety procedures should be given throughout the activity as appropriate. One adult should remain on the beach or shoreline to observe the overall activity.
8. A first aid kit, blanket and telephone should be available at the site.
9. It is highly recommended that students protect themselves from the sun by using sunscreen and/or other form of sun protection.

### **Swimming Activity Guidelines:**

In addition to the water-related guidelines indicated, the swimming guidelines listed below will be followed in order to assure safety of participants in swimming situations.

1. The swimming activity must conform to the Department's water-safety guidelines.
2. Depending on the nature of the swimming activity, at least one certified lifeguard or equivalent person shall be present during the activity.
3. Supervision should be adequate and appropriate based on the needs of the student and the IEP/MP.
4. In addition, at least one staff should be at the site to oversee the entire activity and will not have a student assigned to them. This staff is an "active spotter" and will assist the lifeguard or equivalent person in maintaining safety at the field site.
5. For swimming activities other than "learn to swim", all students will receive instruction and training in the water safety protocol prior to the activity. Successful completion of water-safety instruction and training for all students, including students swimming abilities, will be documented and kept on file. Students should be able to stay afloat in the water for at least one hour. This includes survival float and survival swim.
6. No student will be allowed in the water alone.
7. A water rescue device will be readily available to the staff on shore. Staff will be trained in the deployment of the water rescue device.
8. Warnings of hazards and reminders of safety procedures should be given throughout the activity as appropriate.

## **Boating Activity Guidelines**

In addition to the water-related guidelines, the boating activity guidelines listed below will be followed in order to provide students with a safe boating activity.

1. All boating activities must be an extension of the standards-driven classroom instructional program or part of a DOE approved activity. Clear objectives must be established which relate to the specific IEP/MP goal and objective being worked on.
2. Personnel, knowledgeable in water safety, will be designated as the “safety coordinator” and located on land, boat or escort vessel to monitor canoe/boat activities.
3. The boat must be seaworthy and equipped with safety equipment, including rescue and firefighting equipment and a personal floatation device (pdf that is age appropriate) for each participant. The vessel must have a current safety check by the U.S. Coast Guard Auxiliary.
4. The boat captain must be a qualified, licensed boat operator (passed boat handling course conducted by the U.S. Coast Guard Auxiliary).
5. The agency and designated activity personnel will have a copy of the boat’s flat plan, including list of participants, destination, length of trip, expected departure/arrival times, departure/arrival sites, and alternate plans for inclement weather.
6. Safety orientation must be provided to all participants prior to and during the boating activity as appropriate.
7. Supervision should be adequate and appropriate based on the needs of the student and the IEP/MP. Agency personnel must be able to swim and know safety procedures appropriate for that activity.
8. The vessel’s designated passenger limit must not be exceeded.
9. Participants’ swimming abilities should be assessed and appropriate safety precautions taken for the boating activity. It is highly recommended that all participants wear personal floatation

devices during the boating activity. Non-swimmers MUST wear personal floatation devices.

10. Participants must wear appropriate footwear/attire. They should also protect themselves from the sun by using sunscreen and other sun protection.
11. On the day of the activity, conditions of the site and abilities/preparedness of the participants should be checked prior to the beginning of the activity. Contingency plans should be established and ready for implementation in the event that weather/ocean conditions are inappropriate on the day of the activity.

## **Terrestrial Activities: Hiking**

While terrestrial activities, such as hiking, do not qualify as true water-related activities, there are times when hiking, students will come across small streams, ponds, lakes, etc. In these instances, it is critical that staff be mindful of and observe appropriate water-related safety precautions identified earlier. It is especially important to

1. Note trail conditions: ease of access to trail, fallen obstacles, overgrown brush and grass, stream crossings. Depth of stream, possible areas of fallen rocks, steepness of trail, forks and junctions, and crumbly rocks.
2. Check weather conditions. Recent heavy rains may have caused landslides, mud, and slippery conditions.
- 3.

### **Other Precautions and Guidelines for Terrestrial Activities**

1. All terrestrial activities must be an extension of the standards-driven classroom instructional program or part of a DOE approved activity. Clear objectives must be established which relate to the specific IEP/MP goal and objective being worked on.
2. Staff will follow routine practices highlighted in the water-related activity guidelines, i.e. surveying the site prior to the activity, obtaining appropriate permissions, filing information with the agency, preparing all students and staff, etc.
3. Supervision should be adequate and appropriate based on the needs of the student and the IEP/MP.
4. Establish rules of conduct appropriate for the group, site, and activity. Discuss procedures to follow in case students “get lost”.
5. In addition to first aid kit and related supplies, be certain to necessary safety rescue equipment (rope) and communication device (cellular telephone) available.
6. Check with appropriate authorities regarding current trail conditions.
7. Plan and write out a “trail plan” and leave it with the agency. Include the following: 1) list of students; 2) time of arrival and

approximate departure; 3) travel time to trail head; 4) name of trail; and 5) time on trail.

8. Prepare a checklist of items to bring on the hike: daypack to carry food, water, and other articles; rain gear; sunburn protection; insect repellent; light jacket. Staff should additionally carry: extra shoe laces or cord; water proof matches; gloves; toilet paper; first aid kit; moleskin; compass; permits; pocket knife; and whistle.
9. Discuss appropriate attire for the activity. Students must wear footwear at all time. Slippers are not suitable for hiking activities.
10. Take a head count prior to the start of the hike.
11. Select a "point person" (lead hiker) and a "trail sweep" (last hiker).
12. Review emergency procedures in effect during the activity. Indicate the location of safety and first aid equipment.
13. Plan rest stops along the way (approximately five minutes for each hour of hiking).
14. Lift and lower branches that cross the trail instead of pushing them forward.
15. Do not drink water from streams and ponds.
16. Stay on the trail at all times. Avoid going close to the edge of the trail or cliffs. Short cuts may be hazardous, and false trails made by hunters, wild animals and indifferent hikers can cause confusion
17. If one becomes lost, stay put. A search party will be sent out.
18. Take a final headcount before leaving the site.



**Incident/Sentinel Event Notification  
For Department of Education Contracted Providers**

**Instructions**

**Purpose of Form:**

To be used to notify the appropriate principal, agency and District Educational Specialist when there are occurrences involving serious physical/psychological harm or risk to a student, provider reports are late or not received, provider has not rendered services/gaps in services, or any incident of noncompliance with Service Activities as specified in the IEP/MP(s).

**Triggers:**

- |                             |   |
|-----------------------------|---|
| *Harm or risk to student(s) | *Missing reports                                    |
| *Late reports               | *Alleged fraud claims/discrepancy in billing claims |
| *Lack of professionalism    | *Questionable use of best practices application     |
| *Ethics questions           | *Key deliverables not rendered                      |
| *System concerns            |   |

**Routing Procedures:**

- 1 Sentinel Events require immediate action and notification to the School Principal to minimize harm or risk to the student, in addition to the submittal of written Incident/Sentinel Notification. An appropriate, individualized plan of action shall be discussed, developed and implemented to ensure student safety.
- 2 Agency/School personnel should try to resolve any complaints/issues with the individual provider, school, or agency. Staff should keep formal documentation on all actions/communication.
- 3 If personnel cannot resolve the complaints/issues, then the appropriate District Educational Specialist should be contacted for assistance. The DES should keep formal documentation on all actions/communications, review, analysis, and follow-up. The DES is also responsible to send a copy of the Incident/Sentinel Notification form to the State Office SPED Administrator for statewide review and analysis.
- 4 If contract complaints/issues cannot be resolved, then the DES should forward all documentation to the appropriate District Contract Specialist for formal resolution with the school/provider agency. The Contract Specialist d DES will work to resolve complaint/issue.

**Sentinel Event/ Incident Notification  
For Department of Education Contracted Providers**

**Check all that apply:**

- ☐ Sentinel events: Occurrences involving serious physical/psychological harm or risk there of \*
- ☐ Provider reports are late or not received      ☐ Services not rendered
- ☐ Non-compliance with Contract/MP/IEP      ☐ System concerns: Interagency disagreements; gaps
- ☐ Other \_\_\_\_\_

Re: Agency/School: \_\_\_\_\_

Describe the incident/concerns:

Describe actions taken by school personnel/provider to resolve the concern:

Describe proposed resolution:

Describe/attach copies of pertinent documentation:

**Send Notification to:**

- ☐ Parent (\*required for Sentinel Event)      ☐ School Principal      ☐ Agency, if applicable
- ☐ District Educational Specialist(Name)\_\_\_\_\_

**Please Indicate:**    ☐ FYI, No further action requested      ☐ Further Action Requested

Submitted by: \_\_\_\_\_

Print Name	Title	School/Agency
_____ Signature	_____ Date	

---

---

**To be completed by the District Educational Specialist**

Action taken by the DES (if requested):

**Send Follow-up Notification to:**

- ☐ Referral Originator \_\_\_\_\_
- Date
- ☐ Agency/School, as applicable \_\_\_\_\_
- Specify to Whom      Date
- ☐ SPED Administrator (REQUIRED) \_\_\_\_\_
- Date

**Completed by:**

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

Print Name      Title      Signature      Date

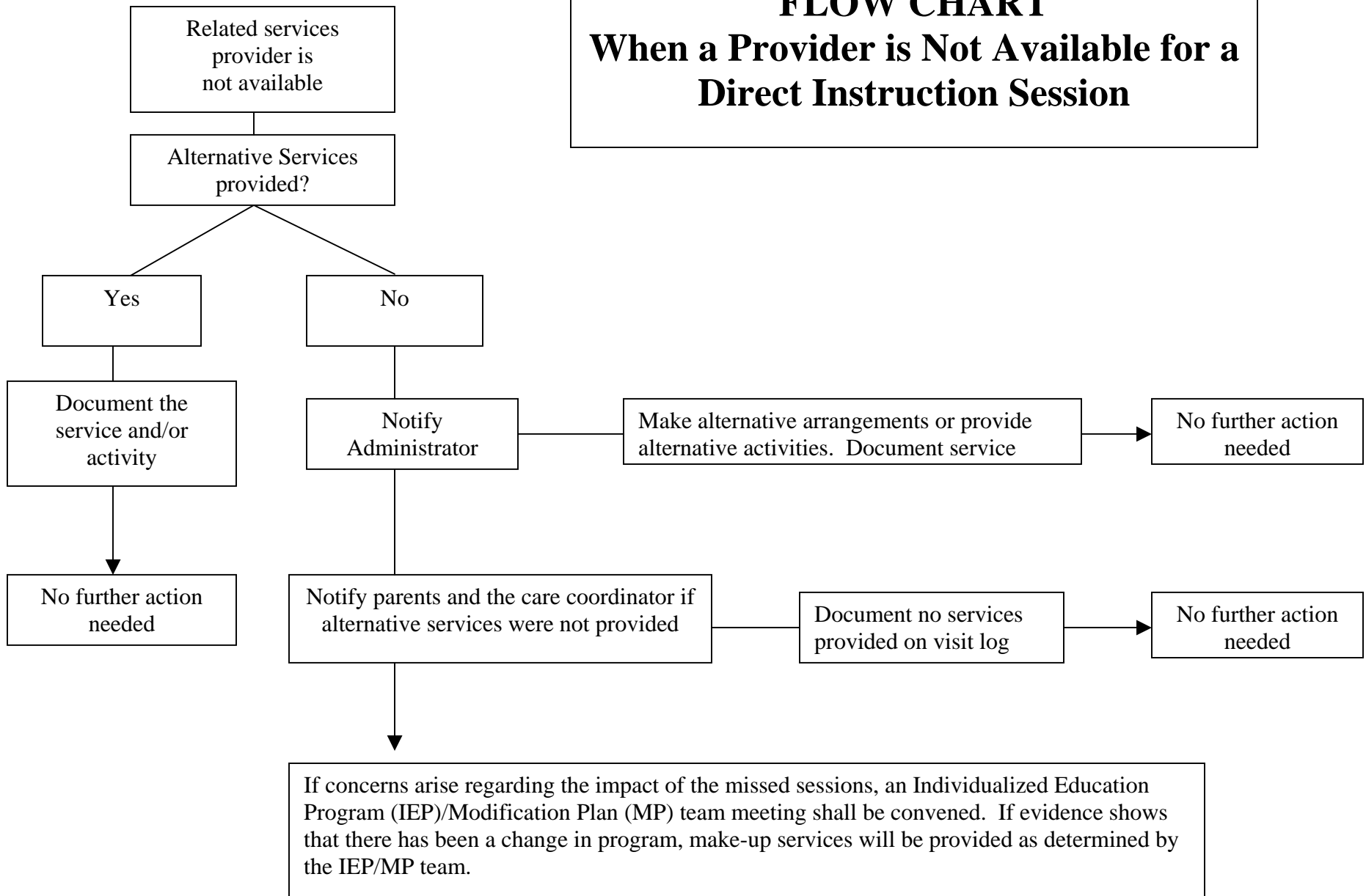
# Procedures for the Provision of Related Services

## Definition of Terms

<b>Related Services</b>	<p>Services provided to enable the student to benefit from his/her educational program. These services must be integrated into the curriculum to achieve student outcome in a relevant and efficient manner.</p> <p>All services must be fluid, promoting access to the general curriculum. Examples:</p> <ul style="list-style-type: none"><li>• Direct instruction to teach or assess skills</li><li>• Ongoing observation of student in various settings to gauge progress and generalization</li><li>• Collaboration/planning with individuals who will implement strategies or activities that are appropriate for the student</li><li>• Consultation with others to discuss the student's progress and to adjust his/her program as needed</li></ul> <p>When teaching a new skill, direct instruction is necessary. When the student needs to practice and generalize the skills, you will need to do more observation and consultation with teacher, aides, etc. to teach them what how to adjust for the student. One must base their service time on student needs, a prediction of how quickly student will learn the new skill, and when you will be introducing new skills to be taught. This is where professional judgment comes into play.</p>
<b>Missed Session</b>	<p>A session when the related service provider is absent <b>and alternative services were not provided.</b></p>

<b>Alternative Services</b>	<p>Services planned as an alternate means to address the IEP goals and objectives. These services are usually discussed at IEP team meetings and addressed in IEP meeting notes section. Alternative Services include:</p> <ul style="list-style-type: none"> <li>• <b>Alternative activities:</b> may include worksheets or tasks related to IEP/MP objectives for home/classroom; strategies for teacher/paraprofessional to implement.</li> <li>• <b>Alternative arrangements for caseload coverage:</b> may involve sessions provided by the paraprofessional, alternate provider, extended sessions, or adjusted scheduling.</li> </ul>
<b>Change in Program</b>	<p>When a student's progress on goals and objectives are significantly impacted due to missed sessions. Change in program must be determined by the IEP/MP team.</p>
<b>Make-up Services</b>	<p>Compensatory services planned after sessions are missed. Make-up services are available when alternative services were not provided and will be offered when missed sessions constitute a change in program.</p>

# **FLOW CHART** **When a Provider is Not Available for a** **Direct Instruction Session**



<p><b>Alternative Service WAS provided for anticipated or unanticipated absence.</b></p>	<p>When a related services provider is absent, and an alternative service is provided, documentation must be made in Integrated Special Education Database (ISPED) visit record. No further action is needed.</p>
<p><b>Alternative Service NOT provided and concerns arise.</b></p> <p>Parental Notification</p> <p>Concerns</p> <p>Change in program</p> <p>Make-up services</p>	<p>If a session was missed and alternative services were not provided:</p> <ol style="list-style-type: none"> <li>1. the provider shall notify the administrator, and</li> <li>2. the administrator will notify the parent or make alternative arrangements.</li> </ol> <p>Reasonable efforts shall be made to notify the parent of the related service provider's absence and services that were not provided. The parent may be informed of the missed services by letter, communication journal, email or telephone.</p> <p>If concerns arise regarding the missed sessions, an Individualized Education Program (IEP)/ Modification Plan (MP) team meeting will be convened to discuss the impact of the missed sessions on the student's educational progress.</p> <p>If it is determined that the missed sessions contribute to a change in program, the IEP/MP team shall determine make-up services.</p> <p>The amount of missed sessions that results in a change in program and warrants make-up services must be determined for each related service by the IEP/MP team. The amount is based on individual need and the impact made on educational progress. To make this determination, the IEP/MP team shall consider factors such as the:</p> <ul style="list-style-type: none"> <li>• extent to which related services goals and objectives are integrated into the student's curriculum and daily activities, and are reinforced by teachers, paraprofessionals, parents and others who interact with the student,</li> <li>• cumulative time of therapy missed,</li> <li>• frequency and pattern of therapy missed, and</li> <li>• other educational services provided during the time period of the missed session.</li> </ul>

<p><b>Alternative Service NOT provided and no concerns arise.</b></p> <p>Parental Notification</p> <p>Documentation</p> <p><b>Alternative Service NOT provided and administrator decides that alternate services will be provided.</b></p> <p>Documentation</p>	<p>If a session was missed and alternative services were not provided:</p> <ol style="list-style-type: none"> <li>1. the provider shall notify the administrator, and</li> <li>2. the administrator will notify the parent or make alternative arrangements.</li> </ol> <p>Reasonable efforts shall be made to notify the parent of the related service provider's absence and services that were not provided. The parent may be informed of the missed services by letter, communication journal, email or telephone</p> <p>Document in ISPED Visit Record as a missed session. No further action is required.</p> <p>If a session was missed and alternative services were not provided:</p> <ol style="list-style-type: none"> <li>1. the provider shall notify the administrator, and</li> <li>2. the administrator decides to make alternative arrangements or provide alternative activities.</li> </ol> <p>Document services in ISPED Visit Record as an Alternate Activity or Alternative Arrangement.</p>
---	---

## Documentation of Service Delivery in the IEP's

### MEETING INFORMATION AND NOTES (Please complete a separate page for each meeting.)

Date \_\_\_\_\_

Student's Name: Supportive Branch	
Date of Birth: 05/06/1986	Student ID #: 05142002101743SB
School: ZZAuditSchool1	

#### MEETING PARTICIPANTS

#### MEETING NOTES

**Related services (speech-language, OT, PT, behavioral health, etc) will include but are not limited to any one or a combination of the following:**

- **Individual and/or small group instruction** to teach new skill(s)
- **Observation** in a variety of settings to gauge progress and generalization of skills
- **Collaboration** with other individuals who will help to develop and implement strategies or activities that help reinforce use of the new skill(s) in a variety of settings,
- **Consultation** with others to discuss student's progress and to adjust his/her program as needed.

*Input rest of meeting notes below.*



## Documentation of Time In the Services Grid

To determine the quarterly frequency, multiply the weekly time by nine weeks\* (which is the number of weeks in a quarter).

Examples:

30 minutes/week x 9 weeks = 270 minutes per quarter

30 minutes/month = 7.5 minutes per week x 9 weeks = 67.5 minutes per quarter (round up or down to a whole number)

60 minutes/month = 15 minutes per week x 9 weeks = 135 minutes per quarter

\* For trimester schools, multiply by 12 weeks.

### Sample IEP Services Grid:

21. SERVICES: Special Education and Related Services:	Projected Beginning Date	Projected Ending Date	Frequency (Mins/Times/Period)	Location	ESY Yes/No
Special Education	03/26/2004	03/26/2005	800m/ qtr	Gen. Ed./SPED	No
Counseling	03/26/2004	03/26/2005	300m/ qtr	Gen. Ed./SPED	Yes
Occupational Therapy	03/26/2004	03/26/2005	100m/ qtr	Gen. Ed./SPED	No
Speech/Language Therapy	03/26/2004	03/26/2005	270m/ qtr	Gen. Ed./SPED	No

### Sample MP Services Grid:

26. Chapter 53 / Section 504. special education and/or related services

Related Service	Location	Beginning of Services	Duration (End Date)	Person Responsible	Frequency
Counseling	Regular Education	03/26/2004	03/26/2005	School Counselor	100/ quarter
Speech/Language Therapy	Regular Education	03/26/2004	03/26/2005	Speech/Language Therapist	150/ quarter

## FREQUENTLY ASKED QUESTIONS:

Provision of Services	Answer
What is the difference between “alternative arrangements” and “make-up services?”	<p>Refer to Definition of Terms on pages 1 and 2.</p> <p>Alternative arrangements may involve adjustments in the service provider’s schedule or the service provider has made arrangements to have someone else provide services.</p> <p>Make-up services are compensatory services planned after sessions are missed and are offered only after the IEP team has met and determined that the missed sessions constitute a change in program.</p>
What should I do when my student is unavailable due to a field trip, assembly, testing, etc.	<p>This lawsuit addresses the situation when the related services provider is absent, NOT the student.</p> <p>However, these instances, (when other school activities conflict with service time) should be discussed at the IEP meeting. Best practice is that the student should be involved in general education activities with their peers, as this gives the student the opportunity to practice skills in other environments and situations.</p> <p>Services prior to the activity may involve preparing the student for the upcoming event by role playing appropriate behaviors, describing what one will see, etc. Similarly, following the activity, services would involve follow-up activities which are related to the event.</p>
What happens if you planned to provide alternative services and the student is absent on the given day?	<p>You did your best to provide the service. Document on ISPED (comment section) that alternative services were to be delivered but that the student was absent.</p>
What happens if a student refuses services?	<p>This needs to be addressed via the IEP meeting, with the student involved and being a part of the decision making process.</p> <p>Decisions regarding the continued need for services, motivation, or a change in the method of service delivery are some of the issues that need to be addressed.</p>

<b>Provision of Services (continued)</b>	<b>Answer (continued)</b>
Can I provide the student with extra time during sessions before and/or after an anticipated absence?	Yes, that is a good example of an alternative arrangement.
Can I provide the student with extra time during sessions in case of a future absence?	No. You are infringing upon the student's Least Restrictive Environment. Remember pulling a student out for services, is the most restrictive environment, which is appropriate at times. To go beyond what the IEP team has determined as the amount of time a student spends in special education vs. general education curriculum is not addressing the needs of the student. Furthermore, if the student consistently needs extra time, this should be brought up at the IEP team meeting because you are saying that the student has more needs than originally determined.
What if school personnel refuses to allow access to a student during his/her scheduled time?	It would be best to discuss the conflicting schedule with all parties involved, including the principal.
What can we do when we are not allowed to pull a student due to specific whole school programs (reading)?	Together teacher and provider should think of ways to integrate services into the classroom curriculum. It is critical that everyone remember that special education and related services are provided to students with disabilities to ensure access to the general education curriculum.
What if the teacher is resistant to the integrated approach of services?	Communicate and relate. It is critical that team members establish good working relationships and communicate their roles and responsibilities. When this is spelled out, everyone will see how the integration of services meets the needs of the students in an efficient and effective manner.
<b>Notification</b>	
Who should I notify if I am sick?	Follow your district/school policy for notification of absences.
When I plan to attend a professional development session, who should be notified?	It is the responsibility of the service provider to notify teachers, administrators, parents, and students as appropriate.

<b>Notification (continued)</b>	<b>Answer (continued)</b>
When and how should I notify the parent(s) of a missed session?	Some students have communication books, which are sent home daily. If the teacher writes a note (e.g. no speech today), that is appropriate. If this is not the case, you should notify parents (of the missed session) upon your return, within a reasonable period of time.
<b>Frequency of Services</b>	
What are the benefits of documenting the frequency of services on a quarterly basis instead of a weekly or monthly basis? (e.g. 360 minutes per quarter versus 40 minutes per week)	It builds flexibility into the schedule to meet the continuum of the students' needs. The amount of time for each student may change as the student progresses; therefore, building flexibility into the schedule looks after the best interest of the student.
Does this mean we need to meet every quarter?	No. The frequency of services is just stating the number of minutes the student will be seen every quarter.
What if the school is on a trimester schedule?	Adjust the calculation of minutes as appropriate. A trimester is 12 weeks of instruction per grading period.
How do I document frequency for Extended School Year (ESY)?	ESY is not addressed in these guidelines and should be addressed as a separate issue.
<b>Continuum of Services</b>	
How can I start to educate the parent(s) and other school personnel about the continuum of services?	Explain to team members that services are always based upon the needs of the student. A student will not remain the same from the first day he is seen to the last day of the school year...he/she will change; therefore, how services are provided will change. The way services are delivered when intense instruction is needed looks very different from services when a student is in the generalization stage of remediation. To meet the needs of the student, services should also be fluid and allow for these changes.
How do I document the continuum of services?	Suggested wording is provided on page 6 of these guidelines

Continuum of Services (continued)	Answer (continued)
<p>How do we breakdown the continuum of services on the IEP grid?</p>	<p>In the IEP grid the amount of service time is documented. How services are provided should be explained in the “Meeting Information and Notes” section. Explain to parents that when teaching a new skill, direct instruction is necessary. When the student needs to practice and generalize the skills, you will need to do more observation and consultation with teacher, aides, etc. to teach them what how to adjust for the student. One must base their service time on student needs, a prediction of how quickly student will learn the new skill, and when you will be introducing new skills to be taught. This is where professional judgment comes into play.</p>
<p><b>Documentation</b></p>	
<p>For instructions on <b>ISPED documentation</b>, refer to the handouts on creating individual visit records and using the group visit record feature.</p>	
<p>How do I document next projected visit date?</p>	<p>It is the next date that you will actually see the student. If the next projected visit date is a holiday, do not list that date, list the next scheduled day that you will be providing a service to the student.</p> <p>NOTE: This date is critical because it is used for the Gap Report that looks at this projected date -- if there is no subsequent visit record with a date within 30 days from this projected date, it will be considered as a gap in service.</p>
<p>How should I document for general strategies given in the classroom where I service a group of students?</p>	<p>Usually similar strategies are utilized for several students. However, the result that you are looking at should be individualized. All team members should understand what is expected for each student and in what context. Therefore, documentation is the time expended for each student. If the strategy is geared toward just one student, but can be helpful for all, the documentation is just for the individual that is being addressed.</p>

Are documentation of notes, report writing, progress reports, etc. counted as services to the student?	Not at this time.
--	-------------------

**Provider Agency:** \_\_\_\_\_  
**Address:** \_\_\_\_\_  
 \_\_\_\_\_  
**To:** \_\_\_\_\_  
 (Name of District)  
**Address:** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Date: \_\_\_\_\_  
 Invoice No. \_\_\_\_\_  
 Page \_\_\_\_ of \_\_\_\_

This is to request payment for services provided to students during the month of: \_\_\_\_\_

		Monthly Rate & Attendance Adjustment
Service Type	ID	
	(subobj code)	
Intensive Learning Center for ages 3-9		
Intensive Learning Center for ages 10-12		
Intensive Learning Center for ages 13-20		
Special School		
	<b>GRAND TOTAL</b>	

**ATTACHED: Invoice Attendance Detail Sheet**

I certify that services were rendered  
 and invoice(s) is/are true and correct.  
 I certify invoice(s) is/are an original.

\_\_\_\_\_  
 Signature of Authorized Representative      Date

\_\_\_\_\_  
 Print Name and Title

If applicable: **Corrected Invoice**  
**Reference Invoice dated:** \_\_\_\_\_  
**Invoice Number:** \_\_\_\_\_

\_\_\_\_\_  
 Signature of Authorized Representative      Date

\_\_\_\_\_  
 Print Name and Title

**For DOE Use Only**

Invoice returned for the following reasons:

1. Missing Data \_\_\_\_\_
2. Services does not match with:
  - a. \_\_\_\_\_
  - b. \_\_\_\_\_
  - c. \_\_\_\_\_
3. Other: \_\_\_\_\_
4. Date Invoice Returned: \_\_\_\_\_

**For DOE Use Only**

Date Invoice R'cd \_\_\_\_\_

Services rendered validated against serv auth work order forms:

\_\_\_\_\_

District Contract Specialist (Full Signature)

Approved for Payment

\_\_\_\_\_

District Educational Specialist  
or Designated Representative (Full Signature)

**Payment Number:** \_\_\_\_\_

**Purchase Order Number:** \_\_\_\_\_

**Contract Log Number:** \_\_\_\_\_

**Partial** \_\_\_\_\_  
**Final** \_\_\_\_\_

PROVIDER: \_\_\_\_\_

MONTH OF: \_\_\_\_\_

**STATE OF HAWAII**  
**DEPARTMENT OF EDUCATION**  
**ATTENDANCE DETAIL SHEET TO BE SUBMITTED WITH INVOICE**

DATE: \_\_\_\_\_  
INVOICE #: \_\_\_\_\_  
PAGE: \_\_\_\_\_ OF \_\_\_\_\_

	LIST ALPHABETICALLY NAMES (Last Name, First Name)	HOME SCHOOL	IDEA/504	CURRENT IEP/MP DATE	ESY Yes/No	Week 1					Week 2					Week 3					Week 4					Week 5					TOTAL DAYS PRESENT
						M	T	W	Th	F	M	T	W	Th	F	M	T	W	Th	F	M	T	W	Th	F	M	T	W	Th	F	
1																															
2																															
3																															
4																															
5																															
6																															
7																															
8																															
9																															
10																															
11																															
12																															
13																															
14																															
15																															
16																															
17																															
18																															
19																															
20																															
21																															
22																															
23																															
24																															
25																															
			TOTAL ENROLLMENT BY DAY																												

"E" = Date Entered Program

"L" = Date left or Exited Program, Not Included in Count

"P" = Present, Educational Services Received

"A" = Absent

ESY = Extended School Year

Fill in the Date of the Month in the Corresponding Shaded Box Above the Date of the Week

REMARKS: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



**DEPARTMENT OF EDUCATION  
SCHOOL BASED BEHAVIORAL HEALTH SERVICES  
FY \_\_\_\_\_ FINAL REPORT**

**AGENCY:** \_\_\_\_\_

**CONTRACT NO:** \_\_\_\_\_

**Overview of Delivery of Services:**

- Student population served (ie: age range)
- Student population identification (ie: race, geographic areas)
- How was student referred to agency
- Types of services delivered by the agency
- Average length of stay, duration of treatment

**Unique Qualities of Program:**

- Distinguishing characteristics of program that sets it apart from similar programs administered by other agency providers
- How was agency able to integrate services with schools, agencies, and other contracted providers

**Areas Needing Improvement:**

**Barriers to Providing Services:**

**Quality Management Activities:**

- Describe quality management activities during the FYXX-XX and its compatibility with District QAP plans
- The goals for FYXX-XX
- Measurable objectives which include:
  - Parent, student and school satisfaction with the services as was delivered
  - Treatment progress and outcome measures related to overall academic achievement and behavioral successes
  - Timeliness of services, including:
    - Percentage of assessments completed and submitted within the 60 day timelines as established under IDEA;
    - Percentage of monthly/quarterly treatment and progress summary reports and progress notes submitted during the required timelines as established under the contract terms; and
    - Time from authorization of service to initiation of service.

**Staff Summary and Types of Services Provided:**

- List of employees and subcontractors employed during FY, including their credentials and types of service each provided
- List of all new employees (hired after 07/01/XX) and volunteers showing status and completion date of mandatory background checks
- Student to Staff Ratio
- Recruitment efforts and results
- Pay scale in relation to market value
- Retention problems, issues

**Staff Training:**

- List of staff trainings and workshops during FY
- Number of hours employees or subcontractors spent in training

**Evaluation of Staff and Subcontractors:**

- Evaluation schedule, frequency
- Evaluation methodology/criteria
- Personnel involved in the evaluation process

**Future Plan of Action for Next Fiscal Year:**

- Anticipated personnel changes
- Proposed student to staff ratio for upcoming year
- Program improvements
- Accreditation plans
- Submit updated (most recent) agency annual report
- Submit updated (most recent) agency financial audit, if applicable
- Disclose any pending litigation to which they are a party, including disclosure of any judgments, if applicable

GEOGRAPHIC AREA:

---

### Rate and Cost Summary Worksheet for RFP No. EDN 150-2006-XX

[illegible]

## CERTIFICATIONS

### 1. CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

The undersigned (authorized official signing for the applicant organization) certifies to the best of his or her knowledge and belief, that the applicant, defined as the primary participant in accordance with 45 CFR Part 76, and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;
- (b) have not within a 3-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

Should the applicant not be able to provide this certification, an explanation as to why should be placed after the assurances page in the application package.

The applicant agrees by submitting this proposal that it will include, without modification, the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion--Lower Tier Covered Transactions" in all lower tier covered transactions (i.e., transactions with sub-grantees and/or contractors) and in all solicitations for lower tier covered transactions in accordance with 45 CFR Part 76.

### 2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The undersigned (authorized official signing for the applicant organization) certifies that the applicant will, or will continue to, provide a drug-free workplace in accordance with 45 CFR Part 76 by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about--
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a) above;
- (d) Notifying the employee in the statement required by paragraph (a), above, that, as a condition of employment under the grant, the employee will--
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central

point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d) (2), with respect to any employee who is so convicted--
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

For purposes of paragraph (e) regarding agency notification of criminal drug convictions, the DHHS has designated the following central point for receipt of such notices:

Office of Grants and Acquisition Management  
 Office of Grants Management  
 Office of the Assistant Secretary for Management and Budget  
 Department of Health and Human Services  
 200 Independence Avenue, S.W., Room 517-D  
 Washington, D.C. 20201

### 3. CERTIFICATION REGARDING LOBBYING

Title 31, United States Code, Section 1352, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a SPECIFIC grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (non-appropriated) funds. These requirements apply to grants and cooperative agreements EXCEEDING \$100,000 in total costs (45 CFR Part 93).

The undersigned (authorized official signing for the applicant organization) certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the under-

signed, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

- (2) If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. (If needed, Standard Form-LLL, "Disclosure of Lobbying Activities," its instructions, and continuation sheet are included at the end of this application form.)
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### 4. CERTIFICATION REGARDING PROGRAM FRAUD CIVIL REMEDIES ACT (PFCRA)

The undersigned (authorized official signing for the applicant organization) certifies that the statements herein are true, complete, and accurate to the best of his or her knowledge, and that he or she is aware that any false, fictitious, or fraudulent statements or claims may subject him or her to criminal, civil, or administrative penalties. The undersigned agrees that the applicant organization will comply with the Public Health Service terms and conditions of award if a grant is awarded as a result of this application.

## 5. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such Federal funds. The law does not apply to children's services provided in private residence, portions of facilities used for inpatient drug or alcohol treatment, service providers whose sole source of applicable Federal funds is Medicare or Medicaid, or facilities where WIC coupons are redeemed.

Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

By signing the certification, the undersigned certifies that the applicant organization will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act.

The applicant organization agrees that it will require that the language of this certification be included in any subawards which contain provisions for children's services and that all subrecipients shall certify accordingly.

The Public Health Services strongly encourages all grant recipients to provide a smoke-free workplace and promote the non-use of tobacco products. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED